

(19) World Intellectual Property Organization
International Bureau(43) International Publication Date
23 August 2001 (23.08.2001)

PCT

(10) International Publication Number
WO 01/60792 A1(51) International Patent Classification⁷: C07C 329/00, C08F 2/38, C08G 75/28

(81) Designated States (national): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZW.

(21) International Application Number: PCT/US01/00850

(84) Designated States (regional): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

(22) International Filing Date: 11 January 2001 (11.01.2001)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:
09/505,749 16 February 2000 (16.02.2000) US(71) Applicant: THE B.F.GOODRICH COMPANY
[US/US]; 4 Coliseum Centre, 2730 West Tyvola Road,
Charlotte, NC 28217-4578 (US).

Published:

— with international search report

(72) Inventor: LAI, John, T.; 8435 Cherry Hill Lane, Broadview Heights, OH 44147 (US).

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(74) Agents: DUNLAP, Thoburn, T. et al.: The B.F.Goodrich Company, Law Dept., 9921 Brecksville Road, Brecksville, OH 44141-3289 (US).



WO 01/60792 A1

(54) Title: S,S'-BIS-(α , α' -DISUBSTITUTED- α'' -ACETIC ACID)-TRITHIOCARBONATES AND DERIVATIVES AS INITIATOR - CHAIN TRANSFER AGENT - TERMINATOR FOR CONTROLLED RADICAL POLYMERIZATIONS AND THE PROCESS FOR MAKING THE SAME(57) Abstract: A S,S'-bis-(α , α' -disubstituted- α'' -acetic acid)-trithiocarbonates and derivatives thereof can be used as an initiator, chain transfer agent, or terminator for polymerization of monomers such as free radical polymerizable monomers. Homopolymers, copolymers, and the like as well as block copolymers can be made utilizing the trithiocarbonate compound such as in a living free radical polymerization as well as to form telechelic polymers.

S,S'-BIS-(α , α' - DISUBSTITUTED - α'' - ACETIC ACID) -
TRITHIOCARBONATES AND DERIVATIVES AS INITIATOR - CHAIN
TRANSFER AGENT - TERMINATOR FOR CONTROLLED RADICAL
POLYMERIZATIONS AND THE PROCESS FOR MAKING THE SAME

5

FIELD OF THE INVENTION

The present invention relates to s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates and derivatives thereof, as well as a process for making the same. Moreover, other functional end groups can be derived from the carboxylic acid end groups. The compounds can be utilized as initiators, chain transfer agents, or terminators for controlled free radical polymerizations. Free radical polymerizations utilizing s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds generally form telechelic polymers. If an initiator other than the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound is also utilized, a polymer having a single functional end group is formed in proportion to the amount of the initiator to the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound utilized.

BACKGROUND OF THE INVENTION

Although several members of the class of organic thiocarbonates have been known for many years and various routes have been employed for their synthesis, the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the present invention have not been disclosed. Trithiocarbonate compounds have been claimed for various applications, such as pesticides for agriculture, and also as lubricating oil additives.

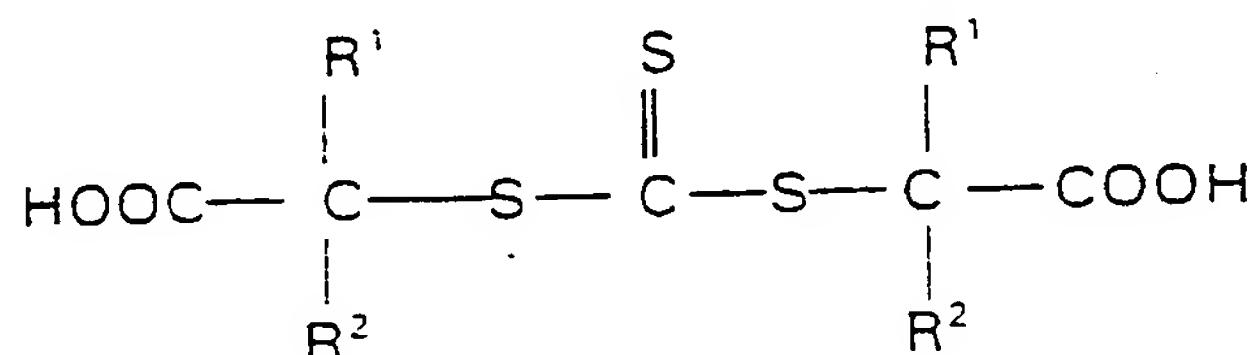
Traditional methods of producing block copolymers, such as by living polymerization or the linking of end functional polymers, suffer many disadvantages, such as the restricted type monomers which can be utilized, low conversion rates, strict requirements on reaction

conditions, and monomer purity. Difficulties associated with end linking methods include conducting reactions between polymers, and problems of producing a desired pure end functional polymer. The s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the present invention can alleviate the above noted problems and difficulties when utilized in free radical polymerizations.

The prior art WO98/01478 reference discloses the use of thiocarbonates to conduct living free radical polymerizations. The reference is limited to alkyl and benzyl functional groups, and is unable to make any aryl or carboxylic acid substituted trithiocarbonates with general methods known to the art. *Synthesis*, p 894 (1986), *J. Chemical Research (Synopsis)*, p478 (1995), and *Synthetic Communications*, Vol. 18, p 1531 (1988). We have also found the conversion for the dibenzyl derivatives disclosed in their example 26 to be very slow compared to the present invention when polymerizing acrylate, as can be seen in the Example section of this application.

SUMMARY OF THE INVENTION

The present invention relates to s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates which have the general formula:



where R^1 and R^2 are set forth below, to derivatives thereof, and to a process for making the same.

The s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) trithiocarbonate compounds can generally be formed from carbon disulfide, a haloform, and a ketone in a strong base, such as sodium

hydroxide, followed by acidification. The s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) trithiocarbonate compounds can be used as initiators, i.e. as initiators and chain transfer agents, and/or chain terminators or as a chain-transfer agent during polymerization. The compounds can thus be utilized to control free radical polymerization thermally and chemically to give narrow molecular weight distributions. Polymerization of monomers can be in bulk, in emulsion, or in solution. Block copolymers can be made if two or more monomers are polymerized in succession. The difunctional acid end groups present can further react with other reactive polymers or monomers to form block or random copolymers.

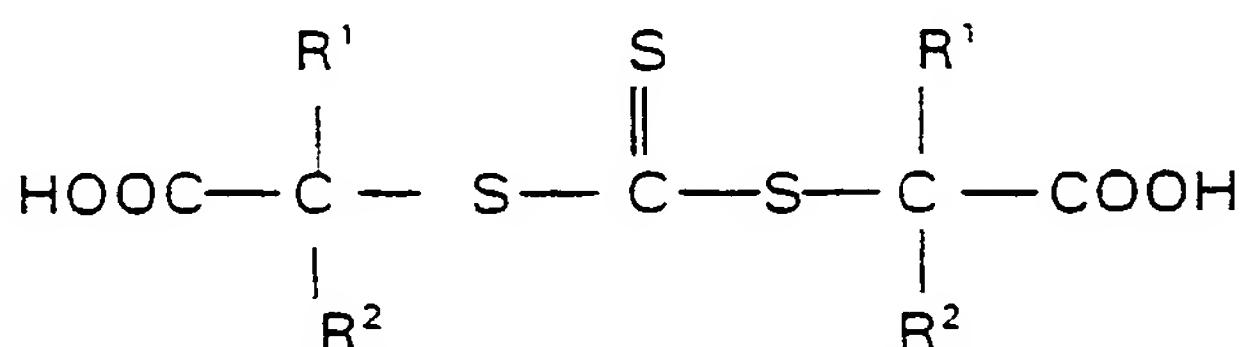
Free radical polymerizations utilizing the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds generally form telechelic polymers. If an initiator other than the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound is also utilized, a polymer having a single functional end group is formed in proportion to the amount of said other initiator to the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound utilized.

DETAILED DESCRIPTION OF THE INVENTION

20

The s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate and derivatives prepared by the processes disclosed later herein generally can be described by the formula:

25

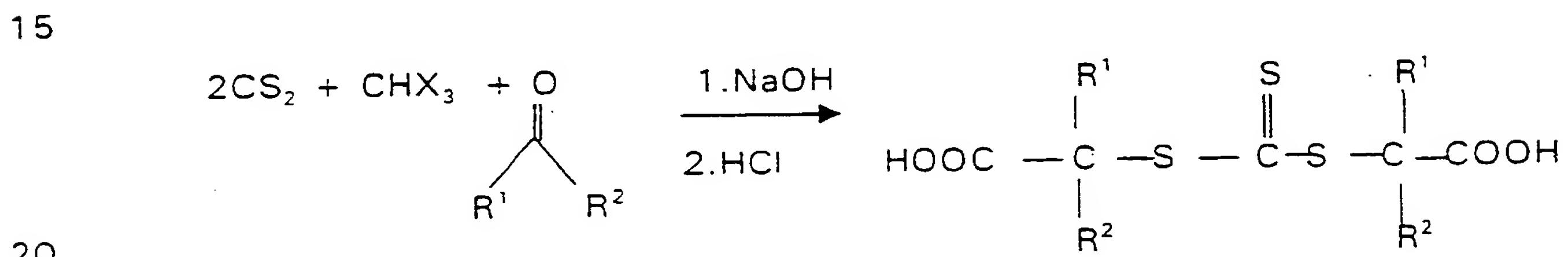


30

wherein R^1 and R^2 , independently, can be the same or different, and can be linear or branched alkyls having from 1 to about 6 carbon atoms, or a

C, to about C₆ alkyl having one or more substituents, or one or more aryls or a substituted aryl group having 1 to 6 substituents on the aryl ring, where the one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms; or an aryl; or a halogen such as fluorine or chlorine; or a cyano group; or an ether having a total of from 2 to about 20 carbon atoms such as methoxy, or hexanoxy; or a nitro; or combinations thereof. Examples of such compounds include s,s'-bis-2-methyl-2-propanoic acid-trithiocarbonate and s,s'-bis-(2-phenyl-2-propanoic acid)-trithiocarbonate. R¹ and R² can also form or be a part of a cyclic ring having from 5 to about 12 total carbon atoms. R¹ and R² are preferably, independently, methyl or phenyl groups.

The abbreviated reaction formula for the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates of the present invention can be generally written as follows:



The process utilized to form the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the present invention is generally a multi-step process and includes 25 combining the carbon disulfide and a base whereby an intermediate trithio structure is formed, see I. II. III. and IV. Ketone can serve as solvent for the carbon disulfide/base reaction and thus can be added in the first step of the reaction. In the second step of the reaction, the haloform, or haloform and ketone, or a α -trihalomethyl- α -alkanol are 30 added to the trithio intermediate mixture and reacted in the presence of additional base, see V. VI, and VII. The formed reaction product, see IX. is subsequently acidified, thus completing the reaction and forming the

above described s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound, see X.

The reaction is carried out at a temperature sufficient to complete the interaction of the reactants so as to produce the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound in a desired time. The reaction can be carried out at any temperature within a wide range from about the freezing point of the reaction mass to about the reflux temperature of the solvent. The reaction temperature is generally from about minus 15°C to about 80°C, desirably from about 0°C to about 50°C, and preferably from about 15°C to about 35°C, with room temperature being preferred. The reaction can be performed at atmospheric pressure. The reaction time depends upon several factors, with the temperature being most influential. The reaction is generally complete within 20 hours and preferably within 10 hours.

A phase transfer catalyst is preferably utilized if a solvent is used in the reaction. Examples of solvents are set forth herein below. The ketone utilized in the reaction may double as a solvent, and therefore no catalyst usually is needed. The amount of phase transfer catalyst, when utilized in the present invention, is generally from about 0.1 mole percent to about 10 mole percent, desirably from about 0.5 mole percent to about 5 mole percent and preferably from about 2 mole percent to about 4 mole percent per mole of carbon disulfide. The phase transfer catalysts can be polyether, and/or an onium salt including a quaternary or tertiary organic compound of a group VA or VIA element of the Periodic Table and salts thereof. Most preferred are quaternary amines, and salts thereof.

"Onium salts" more particularly refer to tertiary or quaternary amines and salts such as are generally used in the phase transfer catalysis of heterogeneous reaction in immiscible liquids. The general requirement for the onium salt chosen is that it be soluble in

both the organic and aqueous phases, when these two liquid phases are present, and usually a little more soluble in the organic phase than the aqueous phase. The reaction will also proceed with a phase transfer catalyst when there is only a single organic liquid phase present, but such a reaction is less preferable than one in which both aqueous and organic liquid phases are present. A wide variety of onium salts is effective in this ketoform synthesis.

The onium salts include the well-known salts, tertiary amines and quaternary compounds of group VA elements of the Periodic Table, and some Group VIA elements such as are disclosed in the U.S. Patent No. 3,992,432 and in a review in *Angewandte Chemie, International Edition in English*, 16 493-558 (August 1977). Discussed therein are various anion transfer reactions where the phase transfer catalyst exchanges its original ion for other ions in the aqueous phase, making it possible to carry our chemistry there with the transported anion, including OH-ions.

The onium salts used in this synthesis include one or more groups having the formula $(R_nY)^+ X^-$, wherein Y is either a pentavalent ion derived from an element of Group VA, or a tetravalent ion derived from an element of Group VIA; R is an organic moiety of the salt molecule bonded to Y by four covalent linkages when Y is pentavalent, and three covalent linkages when Y is tetravalent; X^- is an anion which will dissociate from the cation $(R_nY)^+$ in an aqueous environment. The group $(R_nY)^+ X^-$ may be repeated as in the case of dibasic quaternary salts having two pentavalent Group VA ions substituted in the manner described.

The preferred onium salts for use in the invention have the formula

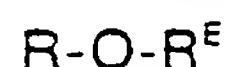


wherein Y is N or P, and R¹ - R⁴ are monovalent hydrocarbon radicals preferably selected from the group consisting of alkyl, alkenyl, aryl, alkaryl, aralkyl, and cycloalkyl moieties or radicals, optionally substituted with suitable heteroatom-containing functional groups. The onium salts are generally selected to be less preferentially less soluble in the less polar of the two distinct liquid phases. Any of the salts disclosed in the U.S. Patent No. 3,992,432 will be found effective, but most preferred are those in which the total number of carbon atoms in R^A, R^B, R^C, and R^D cumulatively range from about 13 to about 57, and preferably range from about 16 to about 30. Most preferred onium salts have Y = N, and hydrocarbon radicals where R^A is CH₃, and R^B, R^C, and R^D are each selected from the group consisting of n-C₂H₅, n-C₄H₉; n-C₅H₁₁; mixed C₅H₁₇; n-C₁₂H₂₅; n-C₁₈H₃₇; mixed C₈-C₁₀ alkyl; and the like. However, R^A may also be selected from C₂H₅n-C₃H₇ and n-C₄H₉ benzyl.

Various counterions may be used, including Cl⁻, Br⁻, I⁻, NO₃⁻, SO₄⁻², HSO₄⁻ and CH₂CO₂⁻. Most preferred is Cl⁻.

The tertiary amines or triamines useful as phase transfer catalysts in this synthesis include the alkyl amines and the aryldialkylamines, exemplified by tributylamine and phenyldibutylamine respectively, which are commonly available, wherein each alkyl may have from 1 to about 16 carbon atoms.

The polyethers useful as catalysts in this synthesis include cyclic polyethers such as the crown ethers, disclosed in *Agenwandte Chemie, supra*, and acyclic polyethers having the formula



wherein R and R^E are, independently, alkyls having from 1 to about 16 carbon atoms, or alkyl containing substituted functional groups such as hydroxy, sulfur, amine, ether, etc. Most preferred acyclic polyethers have the formula

R - (OCH₂CH₂)_r OR"

wherein

R is an alkyl having from 1 to about 16 carbon atoms

R" is an alkyl having from 1 to about 16 carbon atoms,

5 or H, and

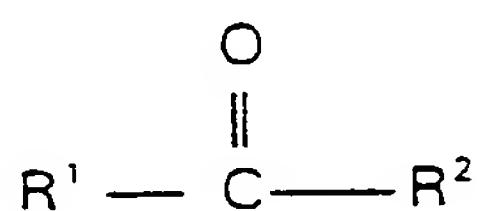
r is an integer in the range from 0 to about 300.

Most preferred are commonly available polyethers such as: tetraethylene glycol dimethyl ether; polyethylene oxide (mol wt. About 5000); poly(ethylene glycol methyl ether); 1,2-dimethoxyethane; diethyl ether, and the like.

10 15 Polyether catalysts are especially desirable in this ketoform synthesis because they are directive so as to produce a preponderance of the desired symmetrically substituted isomer, in a reaction which is remarkably free of undesirable byproducts, which reaction proceeds with a relatively mild exotherm so that the reaction is controllable.

The organic solvent may be any solvent in which the reactants are soluble and include hydrohalomethylenes, particularly hydrochloromethylenes, sulfolane, dibutyl ether, dimethyl sulfone, diisopropyl ether, di-n-propyl ether, 1,4-dioxane, tetrahydrofuran, benzene, toluene, hexane, carbon tetrachloride, heptane, mineral spirits and the like. Most preferred solvents are heptanes and mineral spirits. Solvent is generally utilized in an amount generally from about 10 to about 500 percent and preferably from about 50 percent to about 200 percent based on the total weight of the reactants.

20 25 Insofar as the reactive components are concerned, any of various ketones having the general formula:



can be employed in the synthesis, wherein R¹ and R² are described herein above. As carbon disulfide is the controlling agent in the reaction, the ketone is generally used in an amount from about 110 mole percent to about 2,000 mole percent per mole of carbon disulfide.

5 When the ketone is used as a solvent, it is generally utilized in an amount of from about 150 mole percent to about 300 mole percent, and preferably from about 180 mole percent to about 250 mole percent per mole of carbon disulfide.

10 The alkali bases suitable for use in the synthesis of the present invention include, but are not limited to, sodium hydroxide and potassium hydroxide. The base is utilized in an amount generally from about 5 times to about 15 times the number of moles of carbon disulfide and preferably from about 6 to about 10 times the number of moles of carbon disulfide utilized in the reaction.

15 The acids used in the acidification step include, but are not limited to, hydrochloric acid, sulfuric acid, phosphoric acid, etc. The acids are utilized in amounts suitable to make the aqueous solution acidic.

20 The haloform of the present invention has the general formula CHX₃ wherein X is, independently, chlorine or bromine. The amount of haloform used in the present invention is generally from about 110 mole percent to about 2000 mole percent, desirably from about 150 mole percent to about 300 mole percent, and preferably 180 mole percent to about 250 mole percent per mole of carbon disulfide.

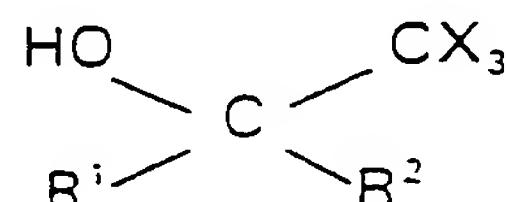
25 Examples of haloforms include, but are not limited to, chloroform and bromoform, and chloroform is the preferred haloform of the present invention.

30 Alternatively, instead of adding both a haloform and a ketone, to the reaction mixture, an α -trihalomethyl- α -alkanol can be substituted therefore. The amount of α -trihalomethyl- α -alkanol utilized

10

in the reaction generally is from about 110 mole percent to about 2000 mole percent, desirably is from about 150 mole percent to about 300 mole percent, and preferably is from about 180 mole percent to about 250 mole percent per mole of carbon disulfide. The general formula of the α -trihalomethyl- α -alkanol is generally represented as follows:

5



10

wherein X, R¹ and R² are defined above.

15

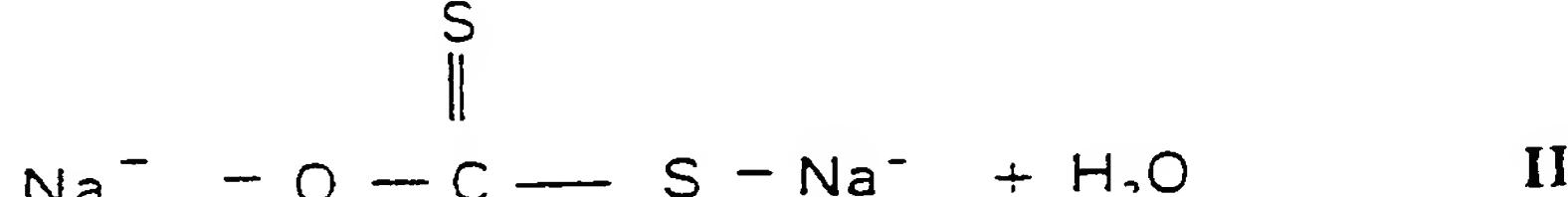
While not wishing to be limited to any particular mechanism, it is believed that the specific mechanism for the reaction process is as follows:

Initially, the carbon disulfide and sodium hydroxide are reacted.

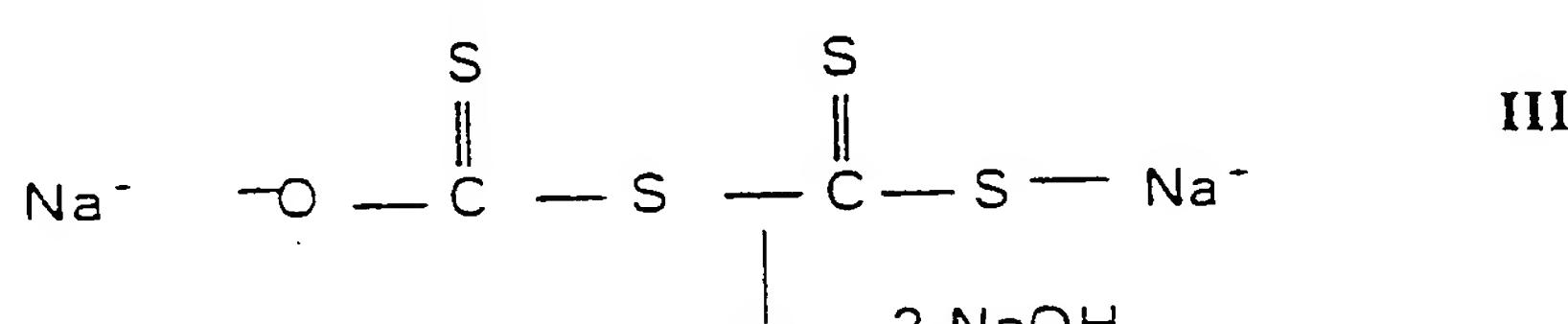
20



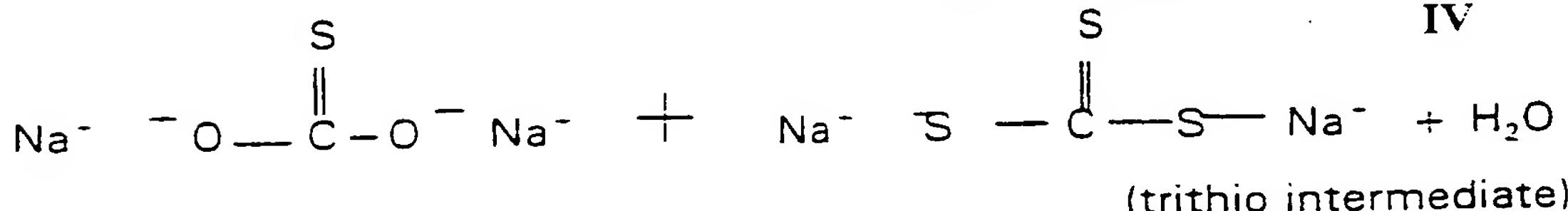
25



30

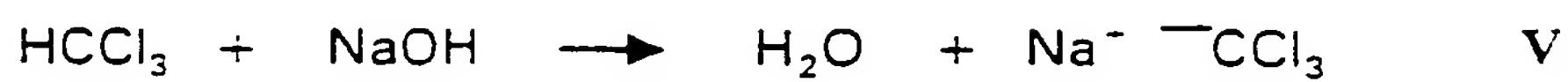


35

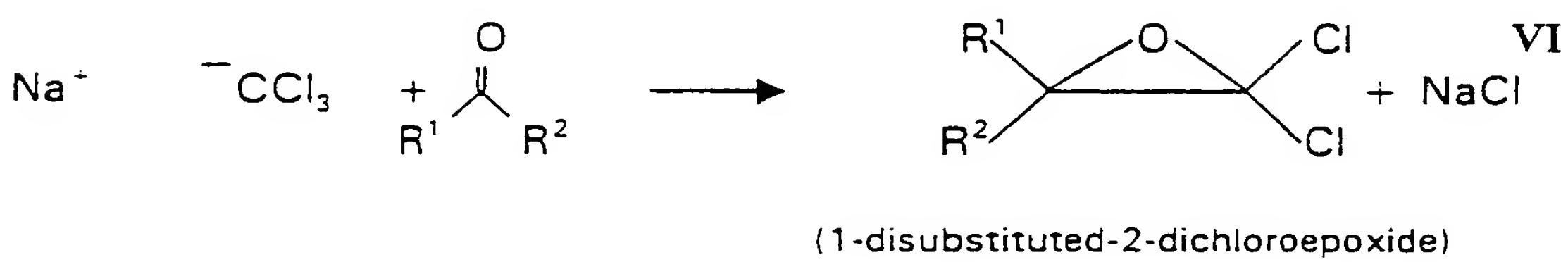


In the subsequent step of the reaction, the chloroform is reacted with the ketone as follows:

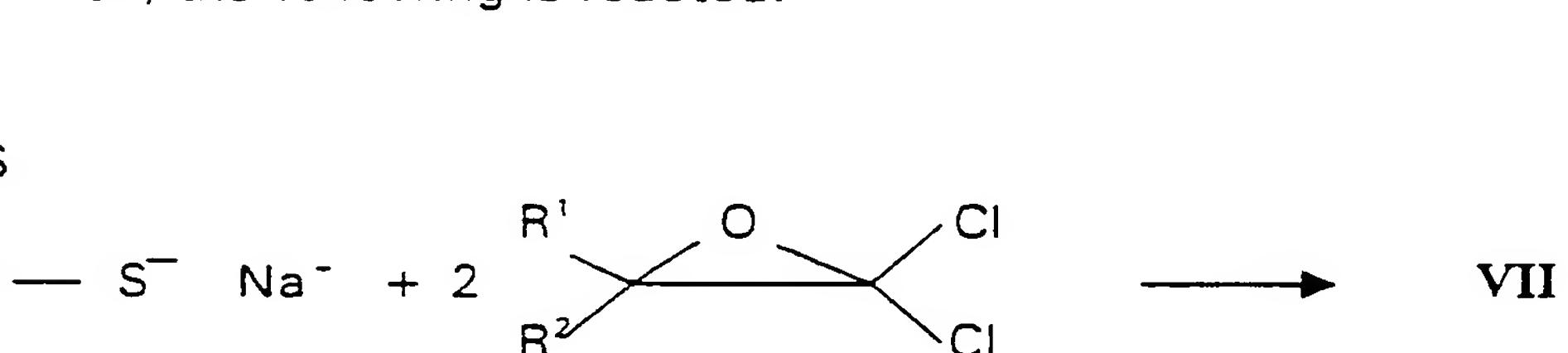
5



10

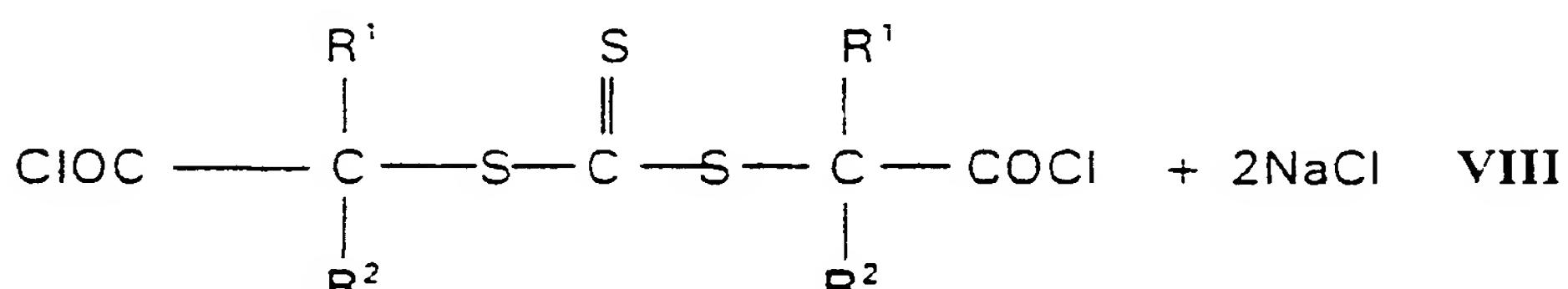


20



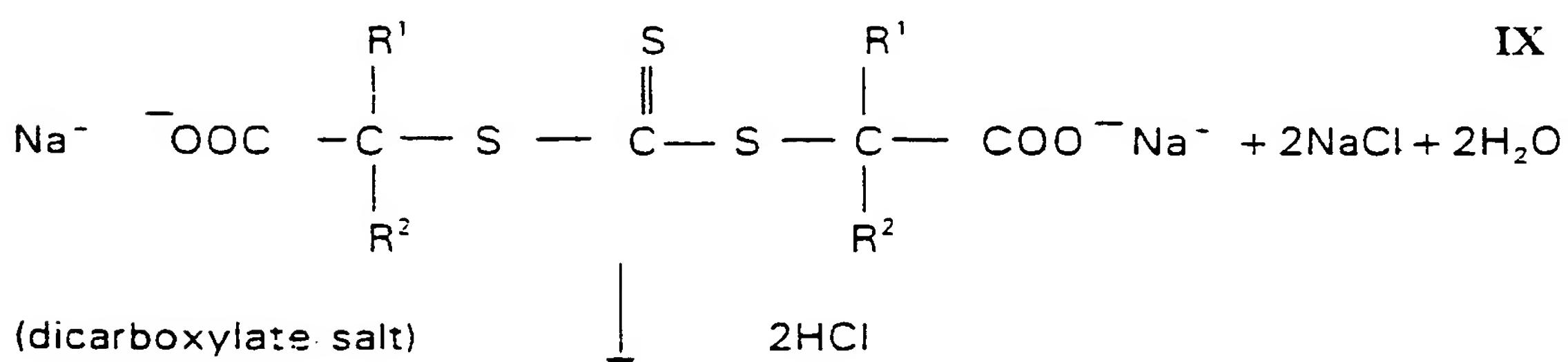
25

30



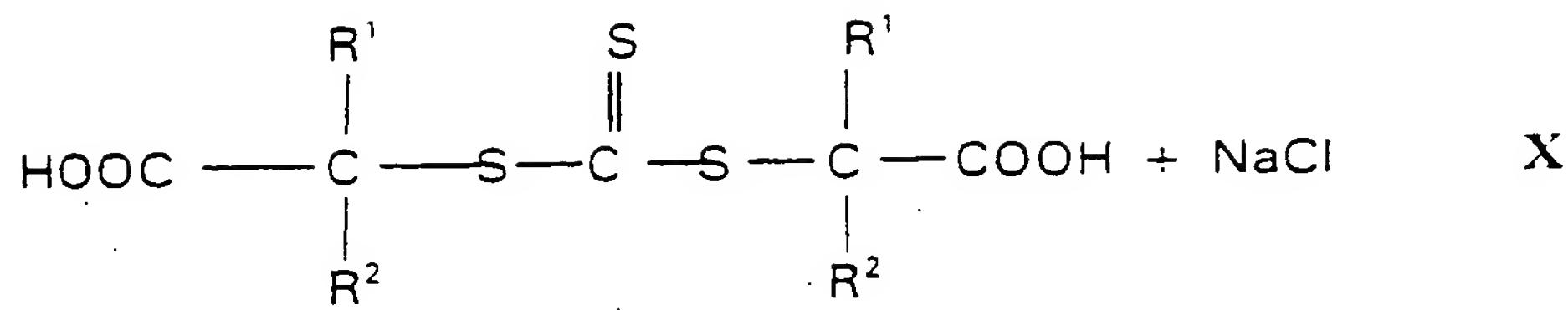
35

40



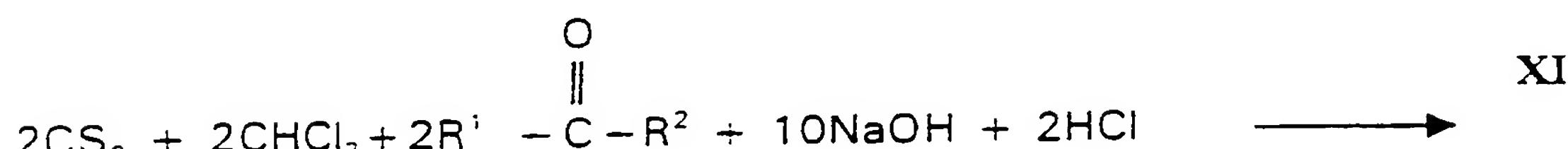
12

5

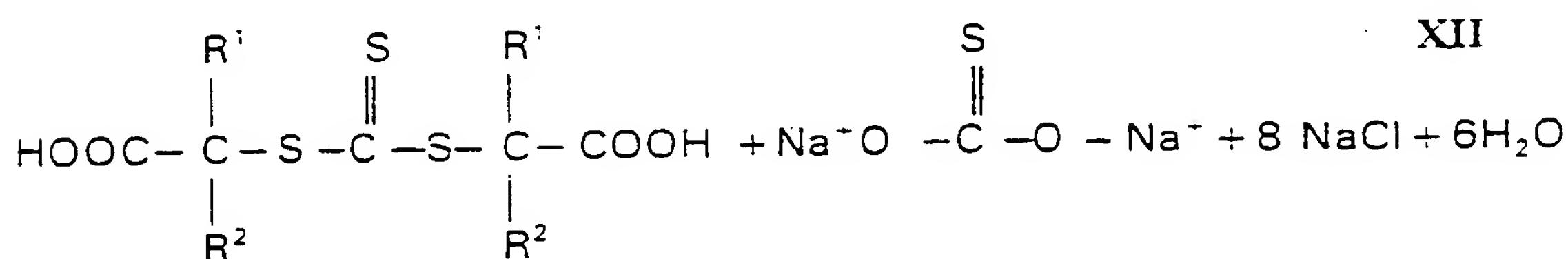


The overall reaction is as follows:

10



15



20

The s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds produced by the present invention can generally be classified as inifertors, meaning that they act as both a chain transfer agent and an initiator. The use of other types of inifertors for block copolymers was discussed by Yagei and Schnabel in *Progress in Polymer Science* 15, 551 (1990) and is hereby fully incorporated by reference.

30

35

Thus, the compounds of the present invention can be utilized as initiators to initiate or start the polymerization of a monomer. They can also act as a chain transfer agent, which interrupts and terminates the growth of a polymer chain by formation of a new radical which can act as a nucleus for forming a new polymer chain. The compounds can also be utilized as terminators in that when most of initiating radicals and monomers are consumed, the compounds are incorporated in the polymers as a dormant species. Desirably though, another compound, such as those listed herein below, is often used as an initiator in the free radical polymerization process as described herein

below, and the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the present invention will act as a chain-transfer agent.

5 The s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the present invention can be used as chain transfer agents in a free radical polymerization process to provide polymerizations which have living characteristics and polymers of controlled molecular weight and low polydispersity, as well as for forming telechelic polymers.

10 A living polymerization is a chain polymerization which proceeds in the absence of termination and chain transfer. The following experimental criteria can be utilized to diagnose a living polymerization.

1. Polymerization proceeds until all monomer has been consumed.
15 Further addition of monomer results in continued polymerization.
2. The number average molecular weight, M_n (or X_n , the number average degree of polymerization), is a linear function of conversion.
3. The number of polymer molecules (and active centres) is constant
20 and independent of conversion.
4. The molecular weight can be controlled by the stoichiometry of the reaction.
5. Narrow molecular weight distribution polymers are produced.
6. Chain-end functionalized polymers can be prepared in quantitative
25 yields.
7. In radical polymerization, the number of active end groups should be 2, one for each end.

30 Besides those mentioned above, other criteria can also help to determine the living character of polymerization. For radical living polymerization, one is the ability of the polymer isolated from the first

step of polymerization to be used as a macroinitiator for the second step of a polymerization in which block copolymers or grafted polymers are ultimately formed. To confirm the formation of block copolymers, measurements of molecular weights and a determination of the structure of the blocks are employed. For structure measurements, the examination of NMR or IR signals for the segments where individual blocks are linked together and a determination of the end groups are both very important. In radical polymerization, only some of the criteria for living polymerizations are actually fulfilled. Due to their ability to undergo further polymerization, these types of polymers can also be called 'reactive polymers'. A more detailed description of living polymerization can be found in "Living Free-Radical Block Copolymerization Using Thio-Inifertors", by Anton Sebenik, *Progress in Polymer Science*, vol. 23, p. 876, 1998.

The living polymerization processes can be used to produce polymers of narrow molecular weight distribution containing one or more monomers sequences whose length and composition are controlled by the stoichiometry of the reaction and degree of conversion. Homopolymers, random copolymers or block polymers can be produced with a high degree of control and with low polydispersity. Low polydispersity polymers are those with polydispersities that are significantly less than those produced by conventional free radical polymerization. In conventional free radical polymerization, polydispersities (polydispersity is defined as the ratio of the weight average to the number average molecular weight M_w/M_n) of the polymers formed are typically greater than 2.0. Polydispersities obtained by utilizing the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds and derivatives thereof of the present invention are preferably 1.75 or 1.5, or less, often 1.3 or less, and, with

appropriate choice of the chain transfer agent and the reaction conditions, can be 1.25 or less.

When the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates compounds are utilized only as chain-transfer agents, the polymerization can be initiated with other initiators at lower temperature while yielding polymers with similarly controlled fashion.

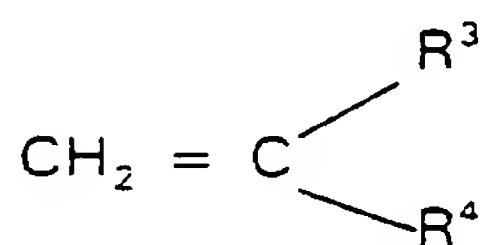
Free radical polymerizations utilizing the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds as both initiators and chain transfer agents generally form telechelic polymers.

When an initiator other than the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound is also utilized, a polymer having a single functional end group is formed in proportion to the amount of said other initiator to this s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound utilized.

The free radical living polymerization process of the invention can be applied to any monomers or monomer combinations which can be free-radically polymerized. Such monomers include one or more conjugated diene monomers or one or more and vinyl containing monomers, or combinations thereof.

The diene monomers have a total of from 4 to 12 carbon atoms and examples include, but are not limited to, 1,3-butadiene, isoprene, 1,3-pentadiene, 2,3-dimethyl-1,3-butadiene, 2-methyl-1,3-pentadiene, 2,3-dimethyl-1,3-pentadiene, 2-phenyl-1,3-butadiene, and 4,5-diethyl-1,3-octadiene, and combinations thereof.

The vinyl containing monomers have the following structure:



where R^3 comprises hydrogen, halogen, C₁ to C₄ alkyl, or substituted C₁ - C₄ alkyl wherein the substituents, independently, comprise one or more hydroxy, alkoxy, aryloxy(OR⁵), carboxy, acyloxy, aroyloxy(O₂CR⁵), alkoxy-carbonyl(CO₂R⁵), or aryloxy-carbonyl; and R^4 comprises hydrogen, R⁵, CO₂H, CO₂R⁵, COR⁵, CN, CONH₂, CONHR⁵, O₂CR⁵, OR⁵, or halogen. R⁵ comprises C₁ to C₁₈ alkyl, substituted C₁ - C₁₈ alkyl, C₂ - C₁₈ alkenyl, aryl, heterocyclyl, aralkyl, or alkaryl, wherein the substituents independently comprise one or more epoxy, hydroxy, alkoxy, acyl, acyloxy, carboxy, (and salts), sulfonic acid (and salts), alkoxy- or aryloxy-carbonyl, sicyanato, cyano, silyl, halo and dialkylamino.

Optionally, the monomers comprise maleic anhydride, N-alkylmaleimide, N-arylmaleimide, dialkyl fumarate and cyclopolymerizable monomers. Monomers $CH_2 = CR^3R^4$ as used herein include C₁ - C₈ acrylates and methacrylates, acrylate and methacrylate esters, acrylic and methacrylic acid, styrene, α methyl styrene, C₁ - C₁₂ alkyl styrenes with substitute groups both either on the chain or on the ring, acrylamide, methacrylamide, and methacrylonitrile, mixtures of these monomers, and mixtures of these monomers with other monomers. As one skilled in the art would recognize, the choice of comonomers is determined by their steric and electronic properties. The factors which determine copolymerizability of various monomers are well documented in the art. For example, see: Greenley, R.Z., in *Polymer Handbook*, 3rd Edition (Brandup, J., and Immergut, E.H. Eds.) Wiley: New York, 1989 pII/53.

Specific monomers or comonomers include the following:

methyl methacrylate, ethyl methacrylate, propyl methacrylate (all isomers), butyl methacrylate (all isomers), 2-ethylhexyl methacrylate, isobornyl methacrylate, methacrylic acid, benzyl methacrylate, phenyl methacrylate, methacrylonitrile, alpha-methylstyrene, methyl acrylate, ethyl acrylate, propyl acrylate (all isomers), butyl acrylate (all isomers),

2-ethylhexyl acrylate, isobornyl acrylate, acrylic acid, benzyl acrylate, phenyl acrylate, acrylonitrile, styrene, functional methacrylates, acrylates and styrenes selected from glycidyl methacrylate, 2-hydroxyethyl methacrylate, hydroxypropyl methacrylate (all isomers), hydroxybutyl methacrylate (all isomers), N,N-dimethylaminoethyl methacrylate, N,N-diethylaminoethyl methacrylate, triethyleneglycol methacrylate, itaconic anhydride, itaconic acid, glycidyl acrylate, 2-hydroxyethyl acrylate, hydroxypropyl acrylate (all isomers), hydroxybutyl acrylate (all isomers), N,N-dimethylaminoethyl acrylate, N,N-diethylaminoethyl acrylate, triethyleneglycol acrylate, methacrylamide, N-methylacrylamide, N,N-dimethylacrylamide, N-tertbutylmethacrylamide, N-n-butylmethacrylamide, N-methyloleumethacrylamide, N-ethylmethacrylamide, N-tert-butylacrylamide, N-n-butylacrylamide, N-methyloleumacrylamide, N-ethylolacrylamide, vinyl benzoic acid (all isomers), 20 dethylaminostyrene (all isomers), alpha-methylvinyl benzoic acid (all isomers), dethylamino alpha-methylstyrene (all isomers), p-vinylbenzene sulfonic acid, p-vinylbenzene sulfonic sodium salt, trimethoxysilylpropyl methacrylate, triethoxysilylpropyl methacrylate, tributoxysilylpropyl methacrylate, dimethoxymethylsilylpropyl methacrylate, diethoxymethylsilylpropyl methacrylate, dibutoxymethylsilylpropyl methacrylate, diisopropoxymethylsilylpropyl methacrylate, dimethoxysilylpropyl methacrylate, diethoxysilylpropyl methacrylate, dibutoxy, silylpropyl methacrylate, diisopropoxysilylpropyl methacrylate, trimethoxysilylpropyl acrylate, triethoxysilylpropyl acrylate, 25 tributoxysilylpropyl acrylate, dimethoxymethylsilylpropyl acrylate, diethoxymethylsilylpropyl acrylate, dibutoxymethylsilylpropyl acrylate, diisopropoxymethylsilylpropyl acrylate, dimethoxysilylpropyl acrylate, diethoxysilylpropyl acrylate, dibutoxysilylpropyl acrylate, diisopropoxysilylpropyl amide, vinyl acetate, vinyl butyrate, vinyl benzoate, vinyl chloride, vinyl fluoride, vinyl bromide, maleic anhydride, 30

N-phenylmaleimide, N-butylmaleimide, N-vinylpyrrolidone, N-vinylcarbazole, butadiene, isoprene, chloroprene, ethylene, and propylene, and combinations thereof.

Preferred monomers are C₁ – C₈ acrylates, C₁ – C₈ methacrylates, styrene, butadiene, isoprene and acrylonitrile.

As noted above, in order to initiate the free radical polymerization process, it is often desirable to utilize an initiator as a source for initiating free radicals. Generally, the source of initiating radicals can be any suitable method of generating free radicals such as the thermally induced homolytic scission of a suitable compound(s) (thermal initiators such as peroxides, peroxyesters, or azo compounds), the spontaneous generation from monomer (e.g., styrene), redox initiating systems, photochemical initiating systems or high energy radiation such as electron beam, X- or gamma-radiation. The initiating system is chosen such that under the reaction conditions there is no substantial adverse interaction of the initiator or the initiating radicals with the transfer agent under the conditions of the experiment. The initiator should also have the requisite solubility in the reaction medium or monomer mixture. The s,s'-bis-(α , α' - disubstituted – α'' – acetic acid) – trithiocarbonate compounds of the invention can serve as an initiator, but the reaction must be run at a higher temperature. Therefore, optionally it is desirable to utilize an initiator other than the s,s'-bis-(α , α' - disubstituted – α'' – acetic acid) – trithiocarbonates compounds of the present invention.

Thermal initiators are chosen to have an appropriate half-life at the temperature of polymerization. These initiators can include one or more of the following compounds:

2,2'-azobis(isobutyronitrile)(AIBN), 2,2'-azobis(2-cyano-2-butane), dimethyl 2,2'-azobisdimethylisobutyrate, 4,4'-azobis(4-cyanopentanoic acid), 1,1'-azobis(cyclohexanecarbanitrile), 2-(t-

butylazo)-2-cyanopropane, 2,2'-azobis[2-methyl-N-(1,1)-
bis(hydroxymethyl)-2-hydroxyethyl] propionamide, 2,2'-azobis[2-methyl-
N-hydroxyethyl)]-propionamide, 2,2'-azobis(N,N'-
dimethyleneisobutyramidine) dihydrochloride, 2,2'-azobis(2-
5 amidinopropane) dihydrochloride, 2,2'-azobis(N,N'-
dimethyleneisobutyramine), 2,2'-azobis(2-methyl-N-[1, 1 -
bis(hydroxymethyl)-2-hydroxyethyl] propionamide), 2,2'-azobis(2-methyl-
N-[1, 1 -bis(hydroxymethyl) ethyl] propionamide), 2,2'-azobis[2-methyl-
N-(2-hydroxyethyl) propionamide], 2,2'-azobis(isobutyramide) dehydrate,
10 2,2'-azobis(2,2,4-trimethylpentane), 2,2'-azobis(2-methylpropane), t-
butyl peroxyacetate, t-butyl peroxybenzoate, t-butyl peroxyoctoate, t-
butylperoxyneodecanoate, t-butylperoxy isobutyrate, t-amyl
peroxypivalate, t-butyl peroxypivalate, di-isopropyl peroxydicarbonate,
15 dicyclohexyl peroxydicarbonate, dicumyl peroxide, dibenzoyl peroxide,
dilauroylperoxide, potassium peroxydisulfate, ammonium
peroxydisulfate, di-t-butyl hyponitrite, dicumyl hyponitrite.

Photochemical initiator systems are chosen to have the
requisite solubility in the reaction medium or monomer mixture and have
an appropriate quantum yield for radical production under the conditions
20 of the polymerization. Examples include benzoin derivatives,
benzophenone, acyl phosphine oxides, and photo-redox systems
production under the conditions of the polymerization; these initiating
systems can include combinations of the following oxidants and
reductants:

25 oxidants: potassium peroxydisulfate, hydrogen peroxide, t-butyl
hydroperoxide reductants: iron (II), titanium (II), potassium
thiosulfite, potassium bisulfite.

Other suitable initiating systems are described in recent texts. See, for example, Moad and Solomon "The Chemistry of Free Radical Polymerization". Pergamon, London. 1995. pp 53-95.

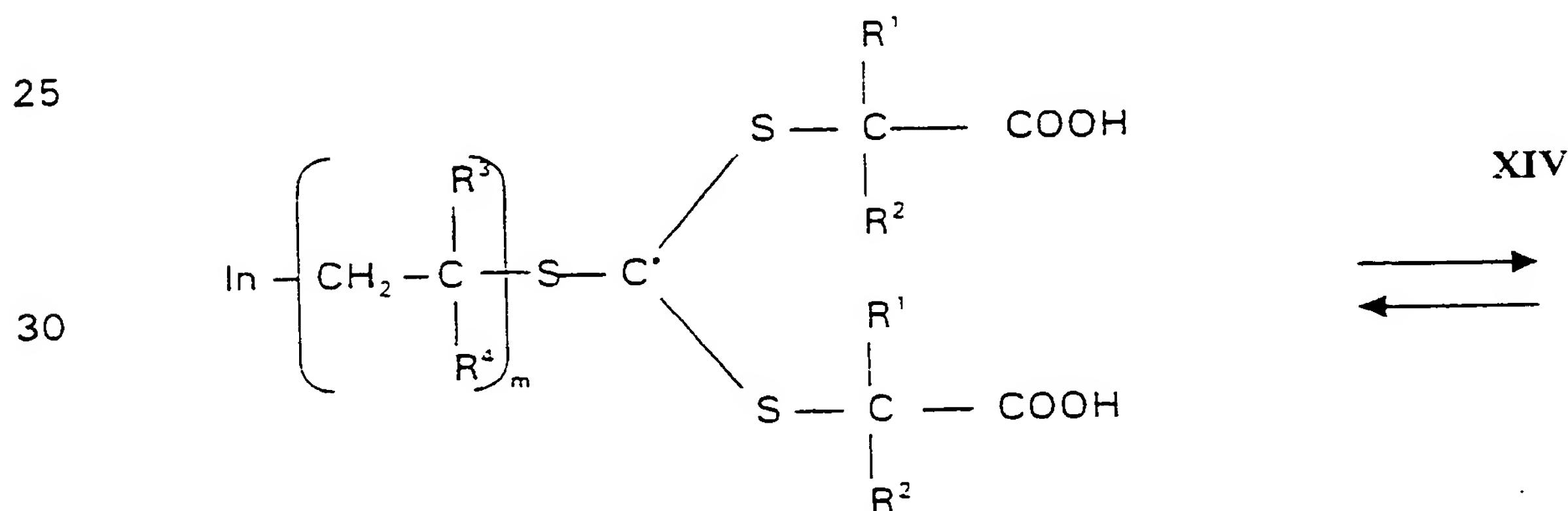
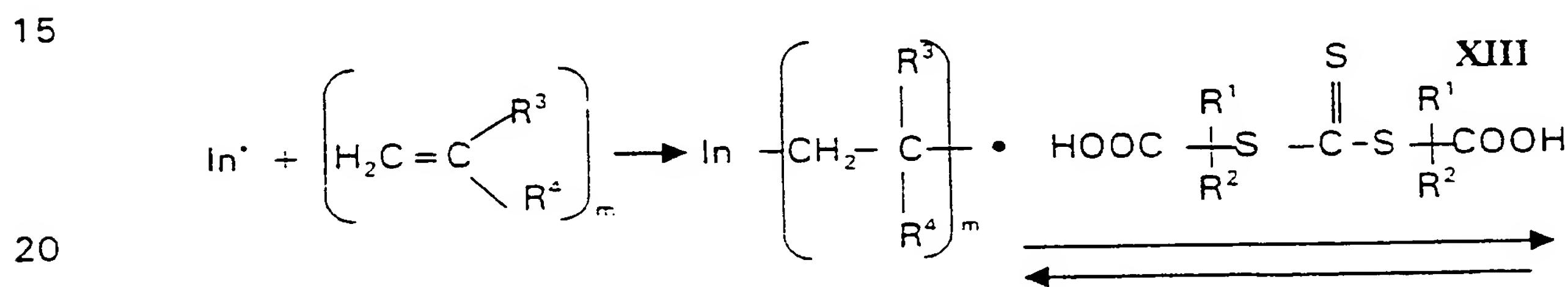
The preferred initiators of the present invention are 2,2'-azobis(isobutyronitrile)(AIBN), or 4,4'-azobis(4-cyanopentanoic acid), or 2,2'-azobis(2-cyano-2-butane), or 1, 1'-azobis(cyclohexanecarbonitrile). The amount of initiators utilized in the polymerization process can vary widely as generally from about .001 percent to about 99 percent, and desirably from about 0.01 percent to about 50 or 75 percent based on the total moles of chain transfer agent utilized. Preferably small amounts are utilized from about 0.1 percent to about 5, 10, 15, 20, or 25 mole percent based on the total moles of chain transfer agent utilized, i.e. said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds. In order to form polymers which are predominately telechelic, initiators other than the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds are utilized in lesser amounts, such as from about 0.001 percent to about 5 percent, desirably from about 0.01 percent to about 4.5 percent, and preferably from about 0.1 percent to about 3 percent based on the molar equivalent to the total moles of chain transfer agent utilized.

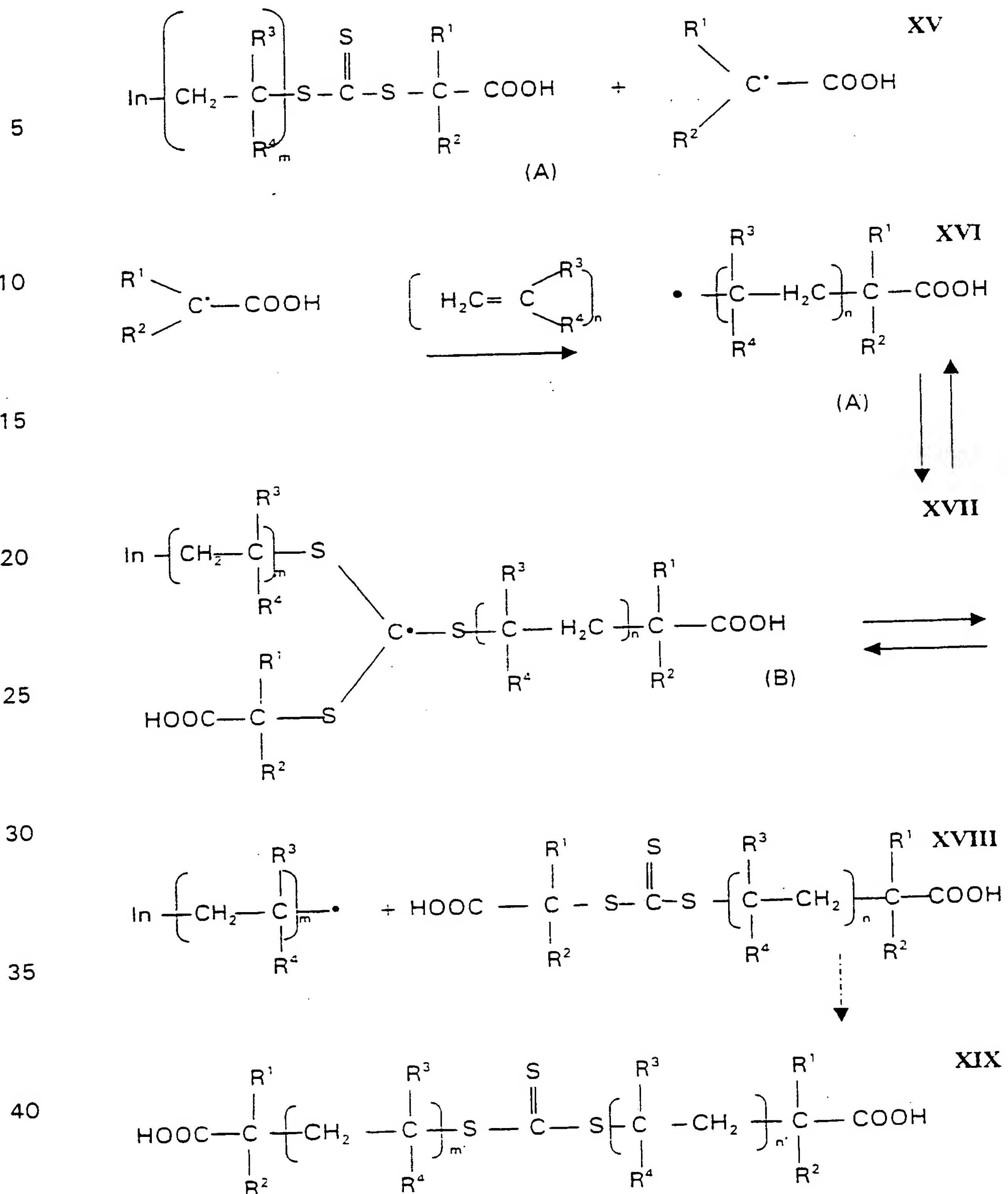
Optionally, as noted above, solvents may be utilized in the free radical polymerization process. Examples of such solvents include, but are not limited to, C₅ - C₁₂ alkanes, toluene, chlorobenzene, acetone, t-butyl alcohol, and dimethylformamide. The solvents are chosen so that they do not chain transfer themselves. The amount of solvent utilized in the present invention polymerization process is generally from about 10 percent to about 500 percent the weight of the monomer, and preferably from about 50 percent to about 200 percent the weight of the monomer utilized in the polymerization.

As stated above, it is preferable to utilize the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the invention as chain transfer agents in the free radical polymerization process. The amount of chain transfer agent (CTA) utilized depends on the desired molecular weight of the polymer to be formed and can be calculated as known by one skilled in the art. A formula for calculating the amount of chain transfer agent is as follows:

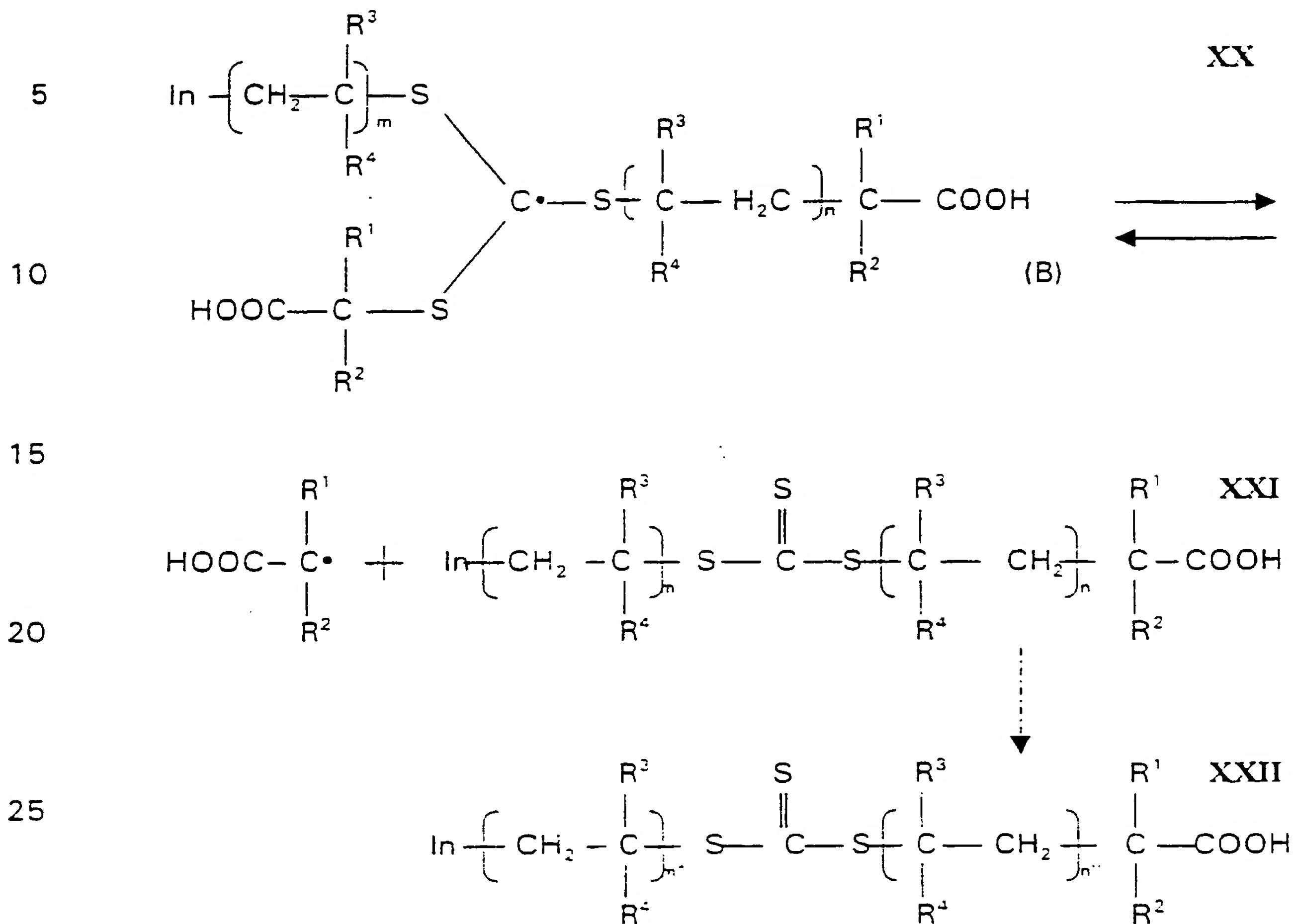
$$10 \quad \text{Mn of polymer} = \left(\frac{\text{Weight of monomer} \times \text{molecular weight CTA}}{\text{Weight of CTA}} \right) - \text{molecular weight of CTA}$$

While not wishing to be limited to any particular mechanism, it is believed that the mechanism of the free radical living polymerization process is as follows when using a vinyl monomer:





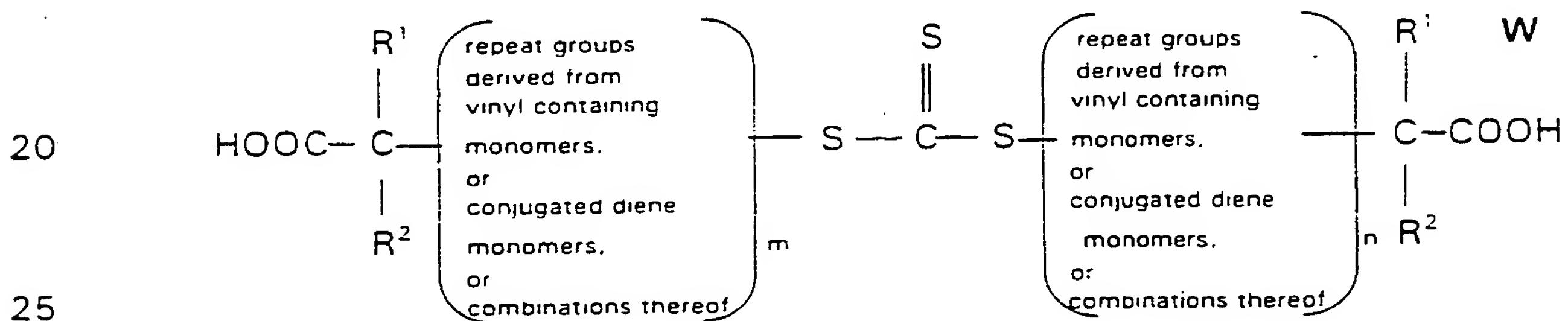
Alternatively, the reaction can proceed as follows:



30 As can be seen from the above mechanism, polymers
having two different structures, see XIX and XXII, can be formed. The
resulting polymers are either telechelic polymers (formed by the
trithiocarbonate compounds of the present invention) with identical
functional groups at the ends of the chain, or a polymer having a single
35 functional end group and also an initiator terminated chain (formed by
using a conventional initiator such as AIBN). As stated above, the ratios
between the resulting polymers can be controlled to give desired results
and generally depends on the amount of initiator utilized. Obviously, if
the initiator is the only s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) -
40 trithiocarbonate compound of the present invention, the resulting

polymers are always telechelic. The greater the amount of the other initiator utilized, proportionally decreases the amount of telechelic polymers formed. Generally, the amount of the repeat group m , m' , m'' , n , n' , or n'' , is generally from about 1 to about 10,000, desirably from 5 about 5 to about 500, and preferably from about 10 to about 200. Inasmuch as one or more vinyl monomers and/or one or more diene monomers can be utilized, it is to be understood that repeat groups of the polymers of the present invention are generally indicated by formulas XIX and XXII and can be the same or different. That is, random 10 copolymers, terpolymers, etc., can be formed within either of the two repeat groups noted, as well as block copolymers which can be formed by initially adding one monomer and then subsequently adding a different monomer (e.g. an internal block copolymer).

15 The polymers formed by the present invention can be generally represented by the following formula:



20 wherein such monomers are described herein above. Of course, the above formula can contain an initiator end group thereon as in XXII.

25 The reaction conditions are chosen as known to one skilled in the art so that the temperature utilized will generate a radical in a controlled fashion, wherein the temperature is generally from about room temperature to about 200°C. The reaction can be run at temperatures lower than room temperature, but it is impractical to do so. The temperature often depends on the initiator chosen for the reaction, for 30 example, when AIBN is utilized, the temperature generally is from about 35

40°C to about 80°C, when azo dicyanodivaleric acid is utilized, the temperature generally is from about 50°C to about 90°C, when di-t-butylperoxide is utilized, the temperature generally is from about 110°C to about 160°C, when s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) is utilized, the temperature is generally from about 80°C to about 200°C.

The low polydispersity polymers prepared as stated above by the free radical polymerization can contain reactive end groups from the monomers which are able to undergo further chemical transformation or reaction such as being joined with another polymer chain, such as to form block copolymers for example. Therefore, any of the above listed monomers, i.e. conjugated dienes or vinyl containing monomers, can be utilized to form block copolymers utilizing the s,s'-bis-(α , α' - distributed - α'' - acetic acid) - trithiocarbonate compounds as chain transfer agent. Alternatively, the substituents may be non-reactive such as alkoxy, alkyl, or aryl. Reactive groups should be chosen such that there is no adverse reaction with the chain transfer agents under the conditions of the experiment.

The process of this invention can be carried out in emulsion, solution or suspension in either a batch, semi-batch, continuous, or feed mode. Otherwise-conventional procedures can be used to produce narrow polydispersity polymers. For lowest polydispersity polymers, the chain transfer agent is added before polymerization is commenced. For example, when carried out in batch mode in solution, the reactor is typically charged with chain transfer agent and monomer or medium plus monomer. The desired amount of initiator is then added to the mixture and the mixture is heated for a time which is dictated by the desired conversion and molecular weight. Polymers with broad, yet controlled, polydispersity or with multimodal

molecular weight distribution can be produced by controlled addition of the chain transfer agent over the course of the polymerization process.

In the case of emulsion or suspension polymerization the medium will often be predominately water and the conventional 5 stabilizers, dispersants and other additives can be present. For solution polymerization, the reaction medium can be chosen from a wide range of media to suit the monomer(s) being used.

As already stated, the use of feed polymerization conditions 10 allows the use of chain transfer agents with lower transfer constants and allows the synthesis of block polymers that are not readily achieved using batch polymerization processes. If the polymerization is carried out as a feed system the reaction can be carried out as follows. The reactor is charged with the chosen medium, the chain transfer agent and 15 optionally a portion of the monomer(s). The remaining monomer(s) is placed into a separate vessel. Initiator is dissolved or suspended in the reaction medium in another separate vessel. The medium in the reactor is heated and stirred while the monomer + medium and initiator + medium are introduced over time, for example by a syringe pump or other pumping device. The rate and duration of feed is determined 20 largely by the quantity of solution the desired monomer/chain transfer agent/initiator ratio and the rate of the polymerization. When the feed is complete, heating can be continued for an additional period.

Following completion of the polymerization, the polymer 25 can be isolated by stripping off the medium and unreacted monomer(s) or by precipitation with a non-solvent. Alternatively, the polymer solution/emulsion can be used as such, if appropriate to its application.

The invention has wide applicability in the field of free radical polymerization and can be used to produce polymers and compositions for coatings, including clear coats and base coat finishes 30 for paints for automobiles and other vehicles or maintenance finished for

a wide variety of substrates. Such coatings can further include 5 pigments, durability agents, corrosion and oxidation inhibitors, rheology control agents, metallic flakes and other additives. Block and star, and branched polymers can be used as compatibilisers, thermoplastic elastomers, dispersing agents or rheology control agents. Additional applications for polymers of the invention are in the fields of imaging, electronics (e.g., photoresists), engineering plastics, adhesives, sealants, and polymers in general.

As can be seen in the above shown polymerization 10 mechanism, the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound can be utilized to create telechelic polymers having two functional groups at both chain ends.

The term "telechelic polymer" was proposed in 1960 by 15 Uraneck et al. to designate relatively low molecular weight macromolecules possessing one or more, and preferably two reactive functional groups, situated at the chain ends, thereof. The functional end groups of both the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound and the polymers formed therefrom, have the capacity for selective reaction to form bonds with another molecule. 20 The functionality of a telechelic polymer or prepolymer is equal to the number of such end groups. Telechelic polymers containing a functional group, such as COOH, at each end are useful for synthesizing further chain extended copolymers and block copolymers.

The interest in telechelic polymers resides in the fact that 25 such polymers can be used, generally together with suitable linking agents, to carry out three important operations: (1) chain extension of short chains to long ones by means of bifunctional linking agents, (2) formation of networks by use of multifunctional linking agents, and (3) formation of (poly)block copolymers by combination of telechelics with 30 different backbones. These concepts are of great industrial importance

since they form the basis of the so-called "liquid polymer" technology exemplified by the "reaction injection molding" (RIM). Great interest has also been shown by the rubber industry because the formation of a rubber is based on network formation. In classical rubber technology, 5 this is achieved by the cross-linking of long chains that show high viscosity. The classical rubber technology, therefore, requires an energy-intensive mixing operation. The use of liquid precursors, which can be end-linked to the desired network, offers not only processing advantages, but in some cases, also better properties of the end- 10 product. Further information about telechelic polymers and synthesis thereof can be found in "Telechelic Polymers: Synthesis and Applications" by Eric J. Goethe, CRC Press, Boca Raton, Florida, 1989.

The reaction conditions for the reactive functional acid end groups of the telechelic polymers or s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the present invention are 15 generally the same as those for forming the above noted free radical polymers. The acid in the monomeric or in the polymeric form can be transformed to its derivatives in the conventional manner. For example, the ester can be made by refluxing the acid in alcohol with an acid 20 catalyst with removal of water. Amides can be formed by heating the acid with an amine with the removal of water. 2-hydroxy-ethyl ester can be formed by directly reacting the acid with an epoxide with or 25 without a catalyst such as triphenylphosphine or an acid like toluene-sulfonic acid. As seen by the examples below, any of the above noted monomers such as the one or more diene monomers or one or more vinyl containing monomers, can be utilized to form the telechelic monomers from the bis-(α , α' - distributed - α'' - acetic acid) - 30 trithiocarbonate compounds of the present invention. Any of the above noted components, such as solvent, etc., can be utilized in the herein above stated amounts.

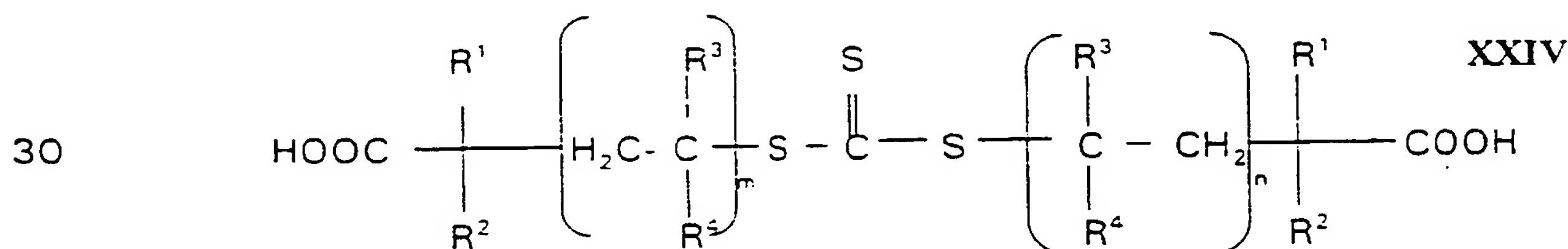
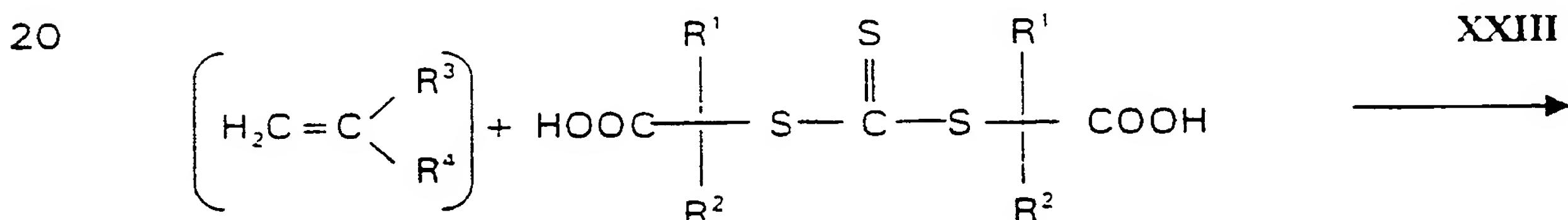
The acid groups of the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound can be converted to other functional groups either before or after polymerization. Even if the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds have functional end groups which have been converted from the acid end groups before polymerization, the monomers added during polymerization still add to the chain between the sulfur-tertiary carbon as shown in the mechanisms above as well as below at XXIII and XXIV.

5 The carboxylic end groups of the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds or the polymerized s,s'-bis-(α ,

10 α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds can be converted or changed into other functional end groups such as esters, thioesters, amides, beta mercapto esters, beta hydroxy esters, or beta amino esters. Examples of these functional end groups are shown

15 below.

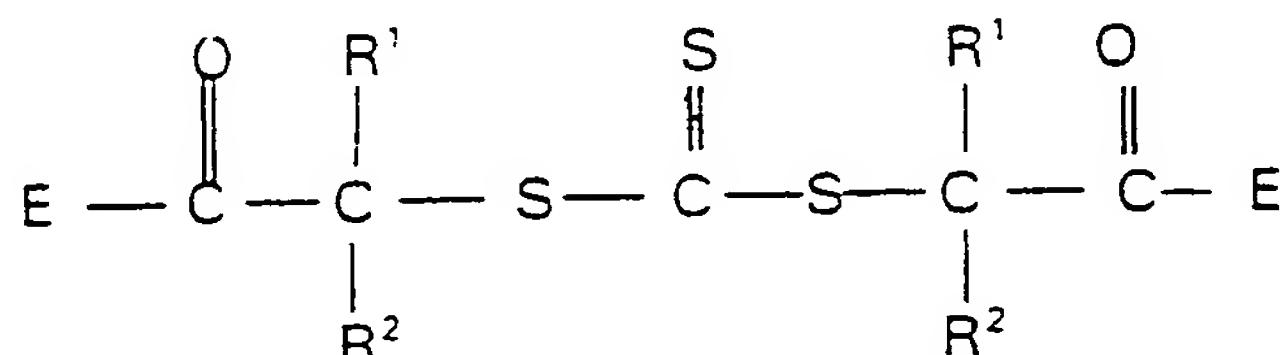
An example reaction forming a telechelic polymer from the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds of the invention when using a vinyl monomer is as follows:



Of course, it is to be understood as indicated above, that the repeat units m and n can be derived either from conjugated diene monomers, or the indicated vinyl monomers, or combinations thereof, as generally set forth in formula W.

5 Subsequently, other functional end groups can be derived from the acid groups of the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound and can generally be represented by the formula:

10

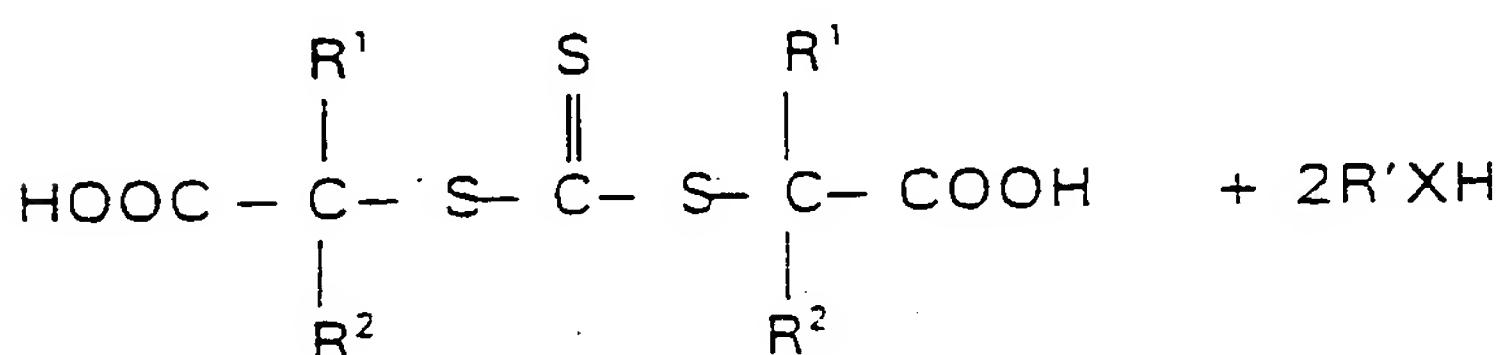


XXV

15

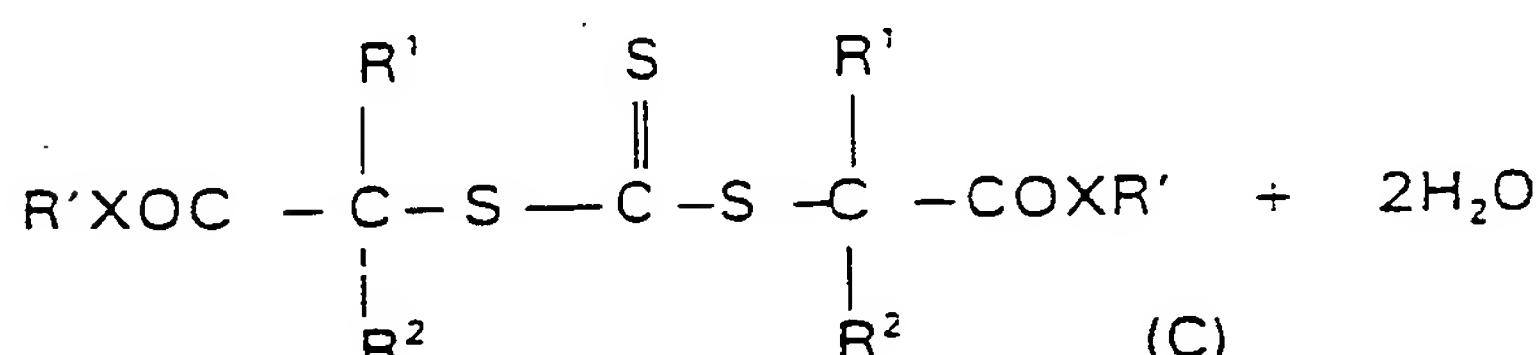
where E is set forth below. For example,

20



XXVI

25



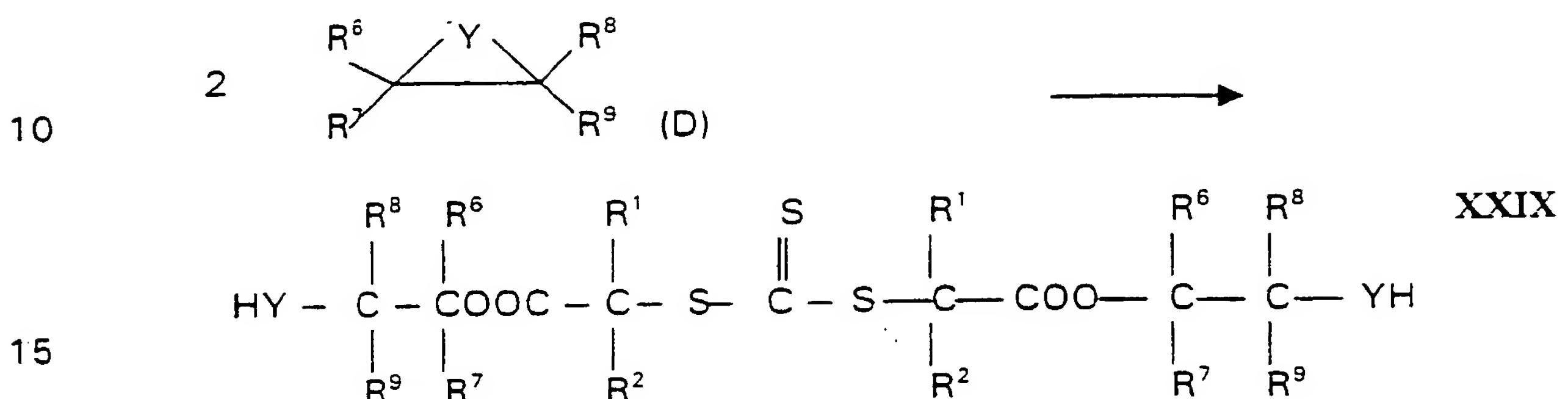
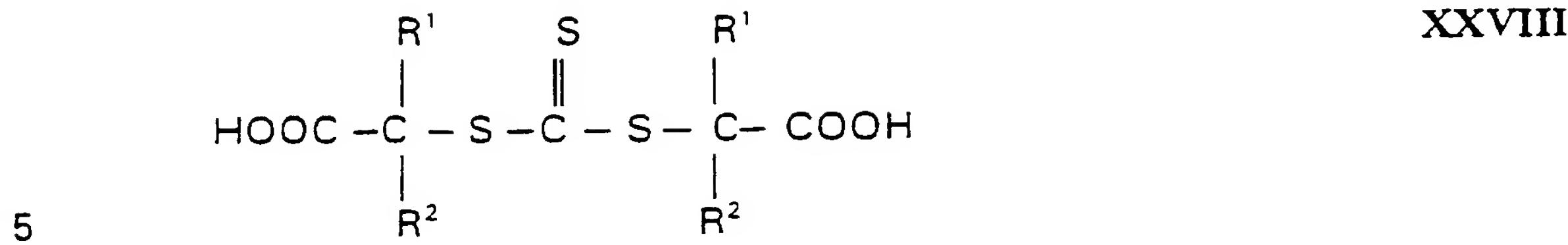
XXVII

30

wherein E is XR', that is R', independently, comprises H, C, - C₁₈ alkyls which can be optionally substituted with one or more halogen, hydroxyl, or alkoxy, C₁ - C₁₈ hydroxyalkyls, and C₁ - C₁₈ aminoalkyls and X comprises oxygen, sulfur, NH, or NR'.

35

The following is still another example of functional end groups which can be derived from the acid:



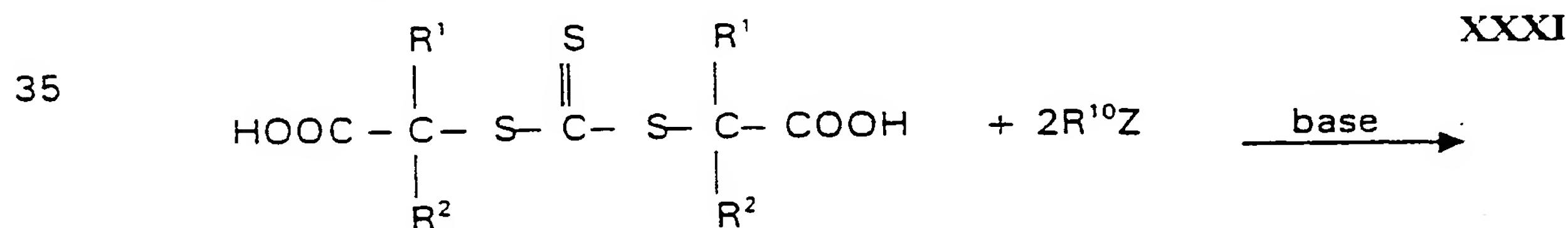
wherein E is

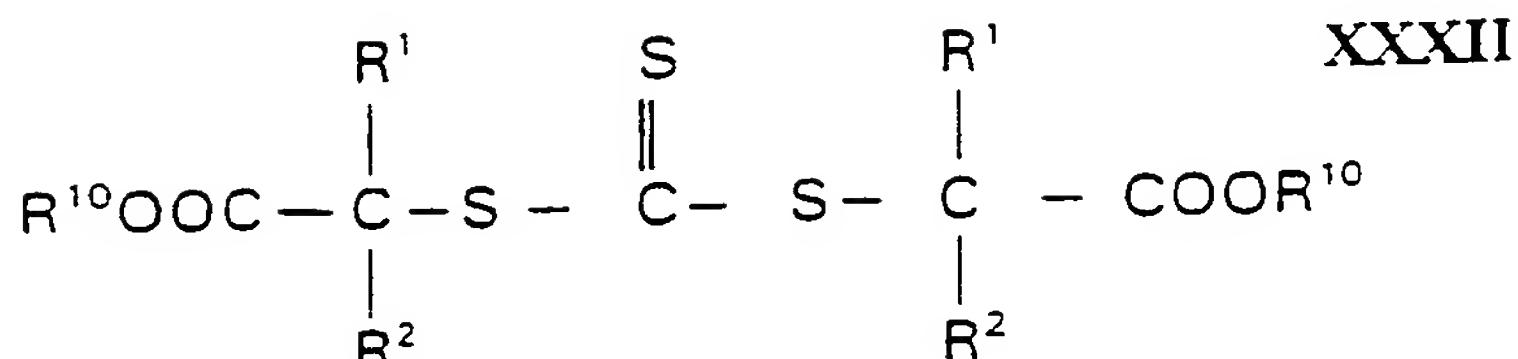


25

that is where R^6 through R^9 , independently comprise H, $\text{C}_1 - \text{C}_{18}$ alkyls, aryl groups or substituted aryl groups having from 1 to 6 substituents on the ring, such as halogen, hydroxyl, or alkoxy, $\text{C}_1 - \text{C}_{18}$ hydroxyalkyls, $\text{C}_1 - \text{C}_{18}$ aminoalkyls, $\text{C}_1 - \text{C}_{18}$ mercapto alkyls, and the like. Y can 30 comprise oxygen, sulfur, NH, or NR^6 to R^9 .

A further example of still other functional end groups which can be derived from the acid groups of the s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compounds is as follows:



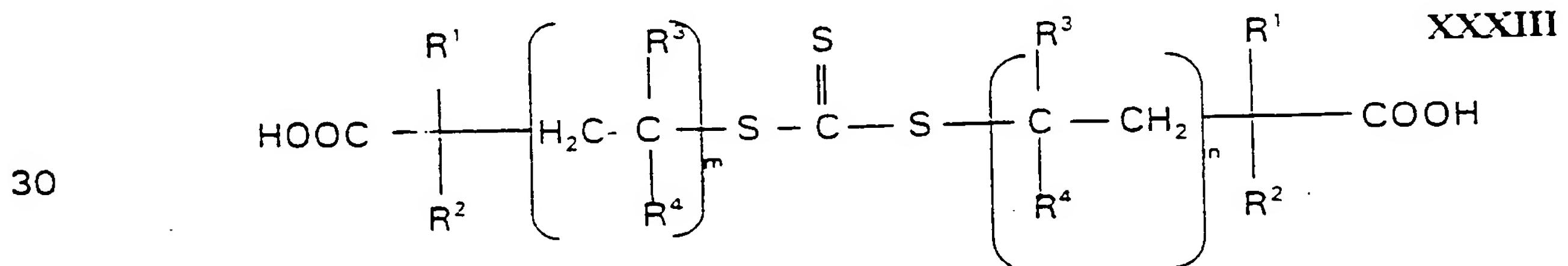


5

wherein E is OR¹⁰, that is where Z can comprise a leaving group, such as a halide or alkylsulfonate or aryl sulfonate. R¹⁰ can comprise C₁ - C₁₈, a alkyl or substituted alkyl wherein said substituent is halogen, hydroxyl, or alkoxy, C₁ - C₁₈ hydroxyalkyl or C₁ - C₁₈ amino alkyl and the like.

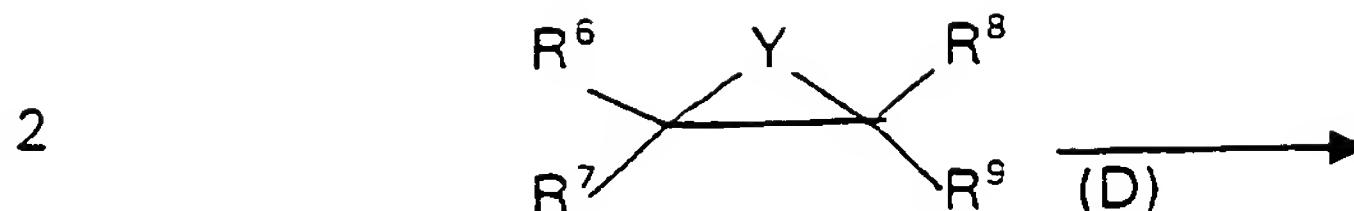
Preparation of the above shown methylesters of s,s'-bis-(2-methyl-2-propanoic acid) - trithiocarbonate is as follows: s,s'-bis-(2-methyl-2-propanoic acid) trithiocarbonate ($R^1, R^2 = CH^3$) (2.82g, 0.01 mole), Sodium carbonate powders (3.18g, 0.03 mole) and 15 ml dimethyl formamide were stirred under nitrogen at 40°C while a solution of methyliodide (3.41g, 0.024 mole) in 2 ml dimethylformamide was added dropwise over 10 minutes. The reaction was stirred at 40-50°C for 2 hours, poured into 25 ml H_2O and extracted 3 times with a total of 200 ml. ether. The etherate solution was dried over magnesium sulfate and concentrated. The yellow solid was further purified by recrystallization from hexanes. Infrared and H'NMR showed the above desired product.

An example of an already formed telechelic polymer, made from a vinyl monomer, undergoing conversion of the acid end group is as follows:



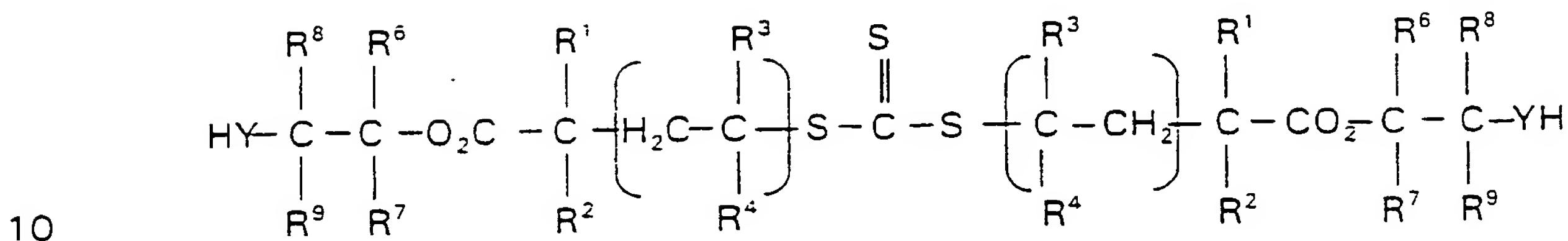
35

33



XXXIV

5

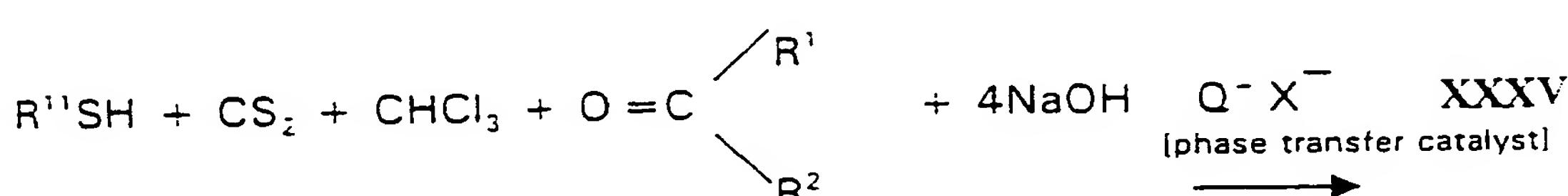


where m and n are as set forth above.

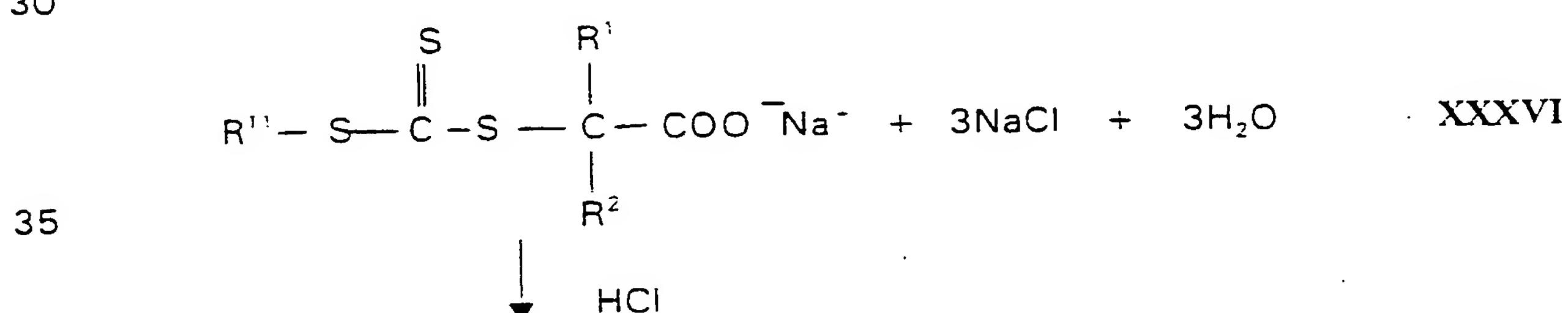
The above structure (XXXIV) was formed by reaction of epoxide with s,s'-bis-(2-methyl-2-propanoic acid) - trithiocarbonate (I) ($R^1, R^2 = CH_3$, 0.01 mole) of the present invention and Epon[®] Resin 828 (Shell chemicals, reaction product of bisphenol A and epichlorohydrin, 80-85% diglycidyl ethers of bisphenol A) (70g) and triphenyl phosphine (0.12g) were heated to 95°C under nitrogen. The reaction was monitored for the disappearance of the carboxylic acid by titration. It was found the reaction was essentially complete in 1.5 hours. The product structure can be further confirmed by mass spectroscopy.

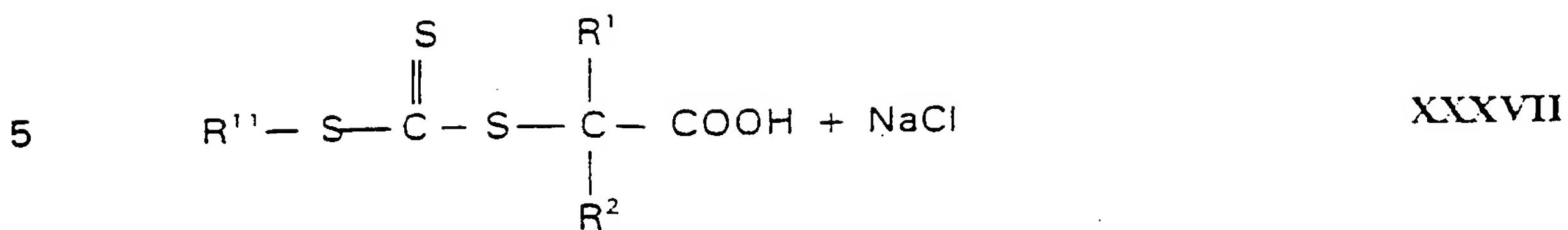
Another aspect of present invention further relates to forming the following compounds:

25



30





wherein R¹¹ comprises a benzyl group, C₁ - C₁₈ alkyl, or substituted alkyl
such as halogen, hydroxyl, or alkoxy, C₁ - C₁₈ hydroxyalkyl,
carboxylalkyl, or carboalkoxyalkyl. Q⁺ X⁻ is a phase transfer catalyst
such as tetrabutylammoniumhydrogensulfate, or
octadecyltrimethylammoniumchloride (Aliquot 336).

15 The resulting compound is an s - substituted alkyl - s' - (α,α' - disubstituted - α'' - acetic acid) - trithiocarbonate. R^{11} is an alkyl having from 1 - 18 carbon atoms, aralkyl, hydroxyalkyl, cyanoalkyl, aminoalkyl, carboxylalkyl, or carboalkoxyalkyl, mercaptoalkyl, etc. R^1 and R^2 are as stated herein above.

When s - substituted alkyl - s' - (α,α' - disubstituted - α'' - acetic acid) - trithiocarbonate is employed either as an initiator, or as a chain-transfer agent, unless R'' is carboxyl alkyl, only one end of the polymer has a carboxyl function, i.e. it is no longer a telechelic polymer.

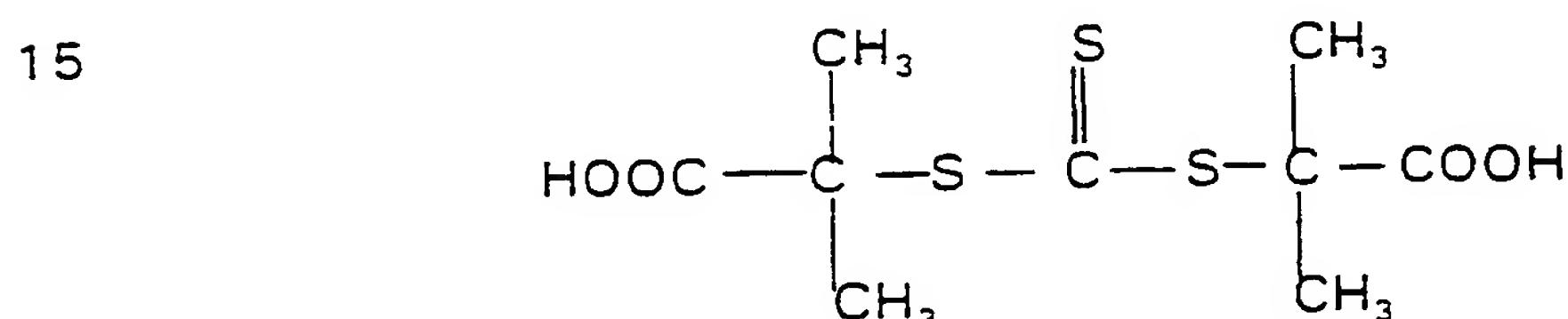
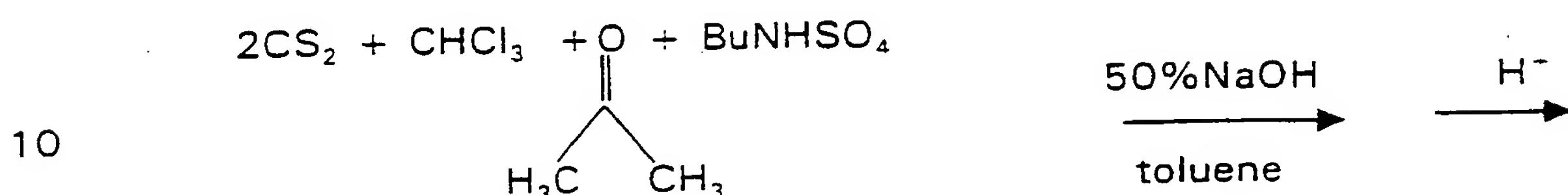
While various polymers have been set forth herein above, it
is to be understood that any of the carboxyl terminated polymers, such
as W, or the E terminated polymers, and the like, can be reacted with
one or more monomers and/or one or more polymers known to the art and
to the literature to yield various resulting block polymers which are
derived from the same monomer or from two or more different
monomers. For example, each acid end group can be reacted with an
excess of an epoxy compound such as a glycidyl bisphenol A and then
subsequently polymerized with additional glycidyl bisphenol A to form an
epoxy polymer. Naturally, other block polymers or copolymers can be
25
30

reacted with the carboxylic end group or the other end groups generally denoted by E herein above.

The present invention will be better understood by reference to the following examples which serve to describe, but not to limit, the present invention.

EXAMPLESEXAMPLE 1

5 Synthesis of s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) -
trithiocarbonate, ($R^1 = R^2 = CH_3$)



20 Procedure:
 In a 500 ml jacketed flask equipped with a mechanical stirrer, a thermometer, a reflux condenser and an addition funnel added 22.9 grams of carbon disulfide, 2.0 gram of tetrabutylammonium bisulfate and 100 ml toluene. The solution was stirred at 20°C under nitrogen and 168 grams of 50% sodium hydroxide solution was added dropwise to keep the temperature between 20-30°C. 30 min. after the addition, a solution of 43.6 grams of acetone and 89.6 grams of chloroform was added at 20-30°C. The reaction was then stirred at 15-20°C overnight.

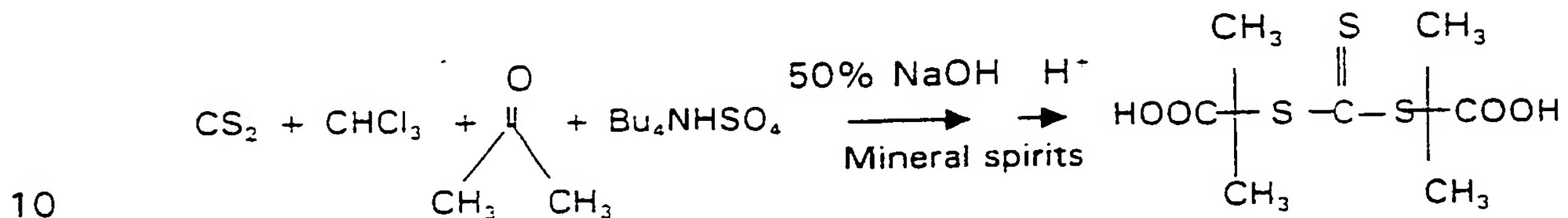
25 500 ml water was added to the mixture, the layers were separated. The organic layer was discarded and the aqueous layer was acidified with concentrated HCl to precipitate the product as yellow solid. 50 ml toluene was added to stir with the mixture. Filtered and rinsed the solid with toluene to collect 22.5 grams of product after drying in the air to constant weight.

30

35

EXAMPLE 2

5 Synthesis of s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates. ($R^1 = R^2 = CH_3$)

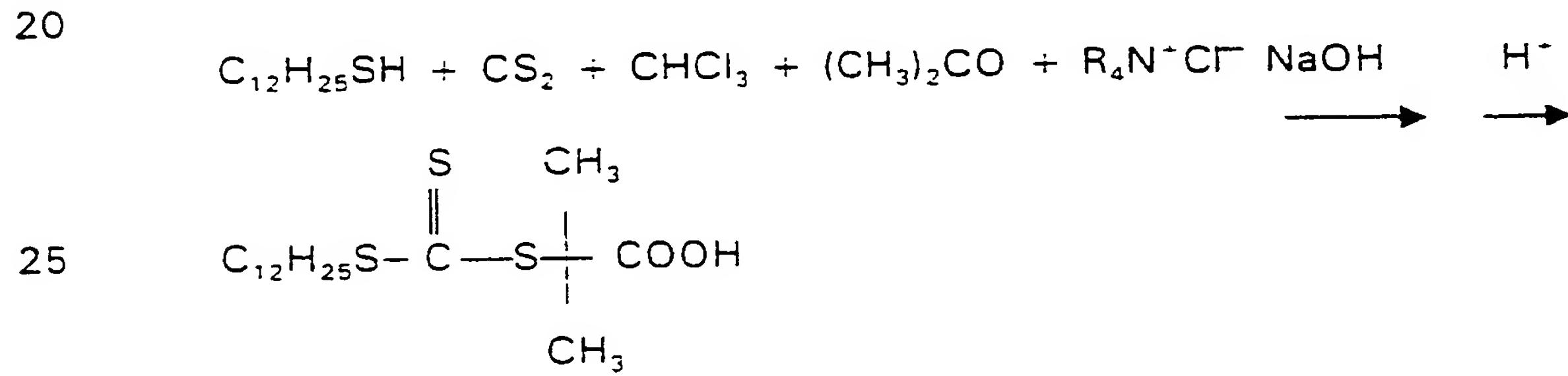


The procedure was essentially the same as in example 1, except that mineral spirits replaced toluene as solvent. 40.3 grams of product was obtained as yellow solid.

15

EXAMPLE 3

20 Synthesis of s-alkyl-s'-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates



Procedure:

30 Dodecylmercaptan (0.1 mole), and Aliquot 336 (0.004 mole) was dissolved in 48g acetone. 50% sodium hydroxide solution (0.105 mole) was added, followed by dropwise addition of carbon disulfide (0.1 mole) in 10g acetone solution. The media turned from colorless to yellow. After 20 min., chloroform (0.15 mole) was added followed by dropwise addition of 50% NaOH (0.5 mole) and 5 g NaOH beads. The rxn was stirred at 15-20°C overnight, filtered and the sol. was rinsed with acetone. The acetone layer was concentrated to dryness. The mass

35

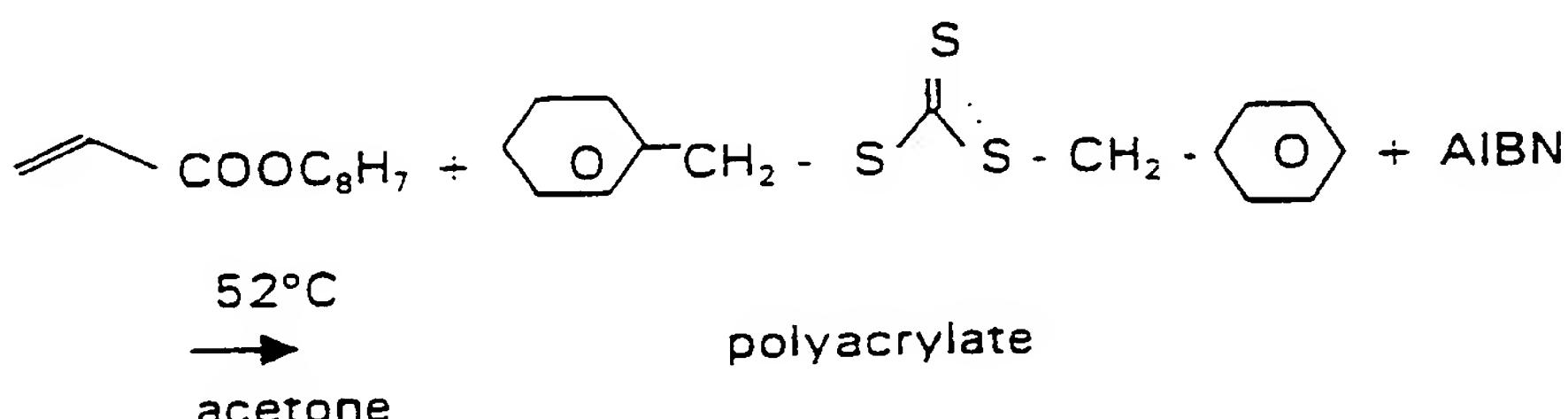
was dissolved in water, acidified with concentrated HCl to precipitate the product, rinsed with water to collect the yellow solid. The solid was dissolved in 350 ml hexanes. The solution was dried over magnesium sulfate and filtered. The organic solution was cooled to precipitate the product as yellow flakes. Yield is 85%.

5

EXAMPLE 4

Polymerization of Prior Art Compounds

10



15

Procedure:

20

Dibenzyltrithiocarbonate (1.54 g, 5.3 mmole), 2-ethylhexylacrylate (25 grams 135.7 mmole), AIBN (0.05g, 0.3mmole) and acetone (25ml) were mixed.

25

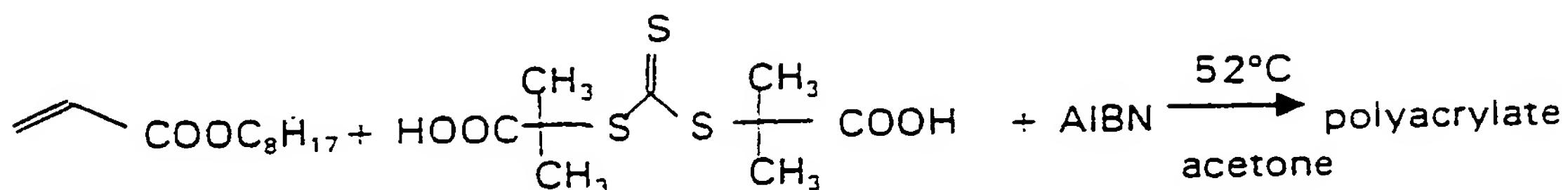
1 ml of undecane was added as GC internal standard for calculating the conversion. The solution was purged with nitrogen for 15 min. before heating to 52°C under nitrogen. No exotherm was detected throughout the reaction. Aliquots of the sample were taken for GC and GPA analyses during the course of the polymerization. The following table showed the progress of the polymerization in 7 hours.

Sample	Time (mins.)	Mn	Mw	Conv. %
1				
2	120	866	970	3.7
3	270	1180	1428	13.2
4	420	1614	2059	26.9

EXAMPLE 5

Polymerization with s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates

5



10

Procedure:

Following the same procedure as in example 4, the novel tricarbonate (1.50g, 5.3mmole), 2- ethylhexylacrylate (25g, 135.7 mmole), AIBN (0.05g, 0.3mmole) and acetone (25ml) were mixed. 1 ml of undecane was added as internal standard. The reaction was stirred at 52°C for 7 hours. The following table showed the conversion and the molecular weights of the resulting polymer.

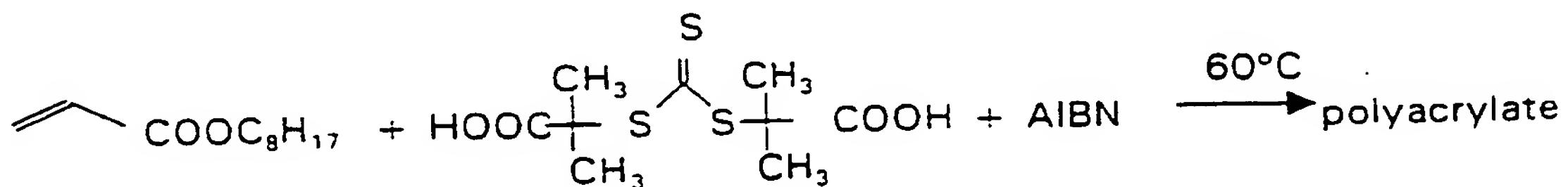
20

Sample	Time (mins.)	Mn	Mw	Conv. %
1	45	669	724	3.5
2	120	1433	1590	25.8
3	240	3095	3621	79.8
4	300	3345	3898	87.9
5	420	3527	4136	93.9

EXAMPLE 6

Polymerization with s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) trithiocarbonates.

30



Procedure:

This is a bulk polymerization with the trithiocarbonate as chain-transfer agent. The trithiocarbonate (1.0g, 3.5mmole), 2-ethylhexylacrylate (25g, 135.7mmole), AIBN (0.05g, 0.3mmole) and 1 ml undecane (internal standard) were purged with nitrogen, then heated to 60°C for 3 hours.

5 The following table showed the conversion and the molecular weight of the polymer.

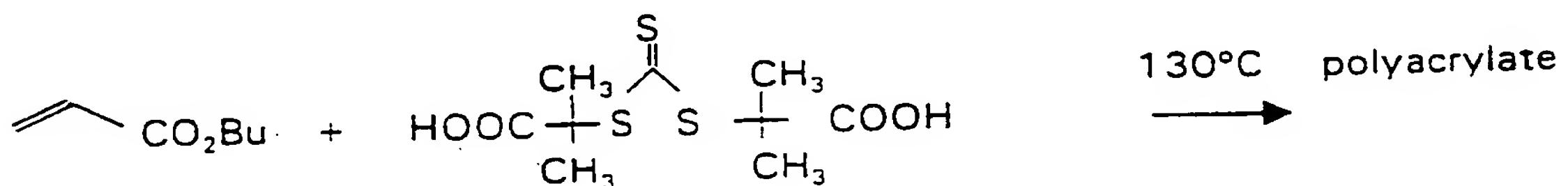
Sample	Time (mins.)	Mn	Mw	Conv. %
1	30	2229	2616	35.6
2	90	4501	5526	91.9
3	180	4672	5780	97.8

EXAMPLE 7

10

Polymerization with s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) trithiocarbonates.

15



Procedure:

The trithiocarbonate was used as initiator. Trithiocarbonate (1.0g, 3.5 mmole), n-butylacrylate (20g, 156.1 mmole) with 1 ml decane as internal standard were purged with nitrogen for 15 min., then polymerized at 130°C under nitrogen for 6 hours. The following table showed the conversion and the molecular weights of the polymer.

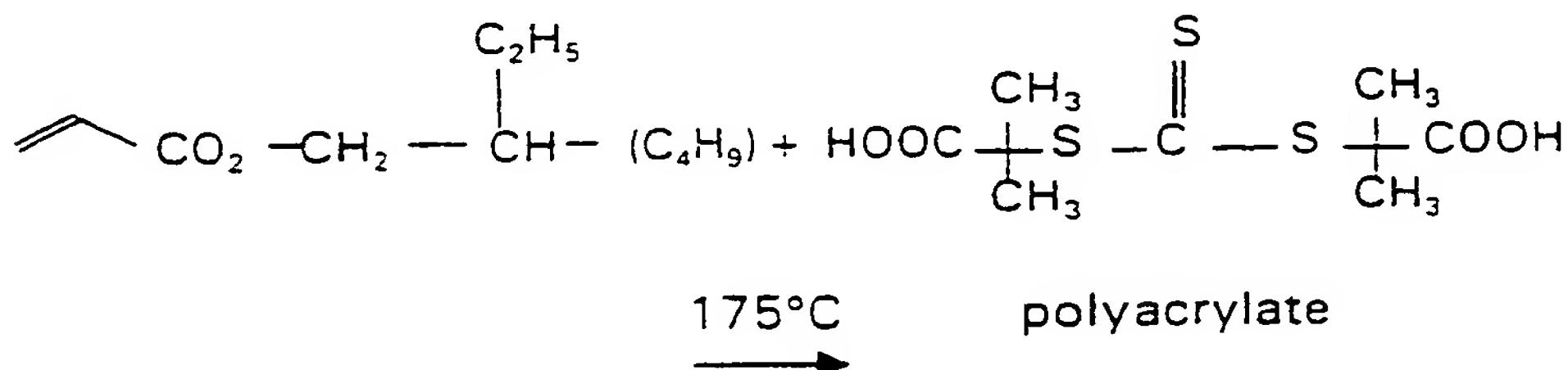
25

Sample	Time (mins.)	Mn	Mw	Conv. %
1	60	1118	1242	16.0
2	120	1891	2199	32.5
3	240	2985	3337	52.5
4	360	3532	4066	65.7

EXAMPLE 8

Free Radical Polymerization utilizing s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonates as inifertor.

5



10

Procedure:

The trithiocarbonate (2.0g, 7.1mmole) and 2-ethylhexylacrylate (25.0g, 135.7mmole) were purged with nitrogen for 15 min then heated to 175°C for 10 hours. The following table showed the conversion and molecular weighs of the polymer.

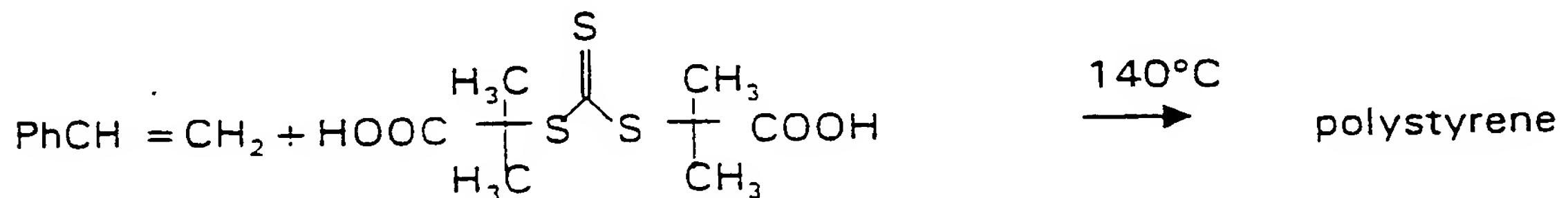
Sample	Time (mins.)	Mn	Mw	Conversion
1	40	1006	1117	24.2
2	90	1446	1699	42.0
3	150	1750	2241	51.9
4	600	2185	3115	98.9

20

EXAMPLE 9

Polymerization with s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) trithiocarbonates.

25



30

Procedure:

The trithiocarbonate was used as inifertor to make polystyrene. The trithiocarbonate (2.0g, 7.1mmole) and styrene (25g, 240.4mmole) with 1 ml decane as internal standard were polymerized at 140°C under

nitrogen for 6 hours. The following table showed the progress of the polymerization.

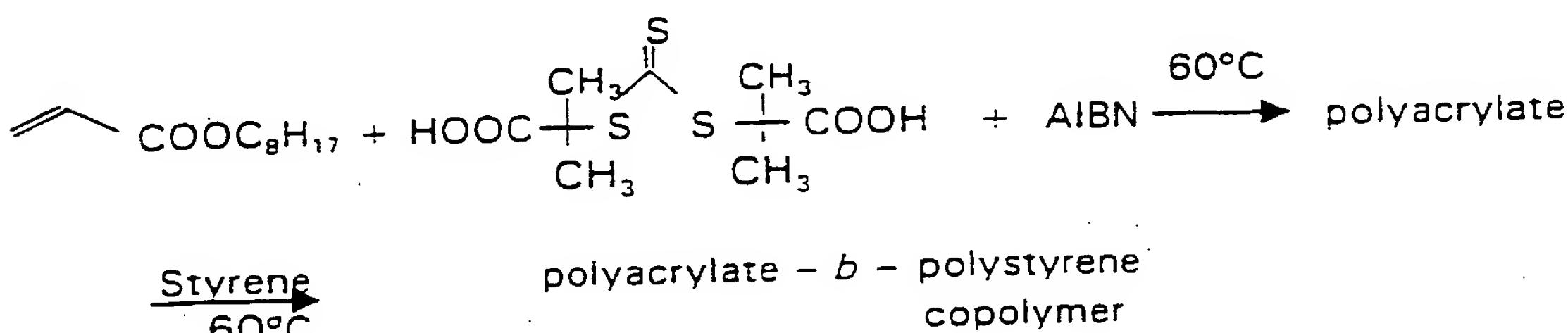
Sample	Time (mins.)	Mn	Mw	Conv. %
1	30	613	648	9.5
2	60	779	831	16.9
3	120	1829	2071	53.9
4	300	2221	2559	72.3
5	360	2537	2956	84.5

5

EXAMPLE 10

Polymerization with s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) trithiocarbonates.

10



15

Procedure:
 The trithiocarbonate was used as chain-transfer agent to make block copolymers of 2-ethylhexylacrylate and styrene. The trithiocarbonate (1.5g, 5.3mmole), 2-ethylhexylacrylate (30g, 162.8mmole) and AIBN (0.03g, 0.18mmole) with 1 ml undecane as the internal standard were polymerized at 60°C under nitrogen as before. 6.5 hours later, styrene (15g, 144.2mmole) and AIBN (0.03g, 0.18mmole) was added. The polymerization continued and the following shows the progress.

25

Sample	Time (mins.)	Mn	Mw	Conv. %
1	70	1922	2459	32.5
2	135	3556	4204	80.8
3	270	4095	4874	95.0
4	330*	4407	5025	96.6
5	1290	4834	5969	-

*Styrene added

EXAMPLE 11

Polymerization with the trithiocarbonate from example 3. The trithiocarbonate (1.82g, 5mmole), n-butyl acrylate (25g, 195.1mmole) and AIBN (0.04g, 0.25mmole) with 1 ml undecane as the internal standard were polymerized under nitrogen atmosphere for 7 hours. It showed 97.5% conversion by GC as depicted in the following table:

Sample	Time (min)	Mn	Mw	Pd	% Conv.
1	60	2177	2792	1.26	46.2
2	120	2758	3865	1.40	67.1
3	420	3786	5439	1.44	97.5

While in accordance with the patent statutes the best mode and preferred embodiment have been set forth, the scope of the invention is not limited thereto, but rather by the scope of the attached claims.

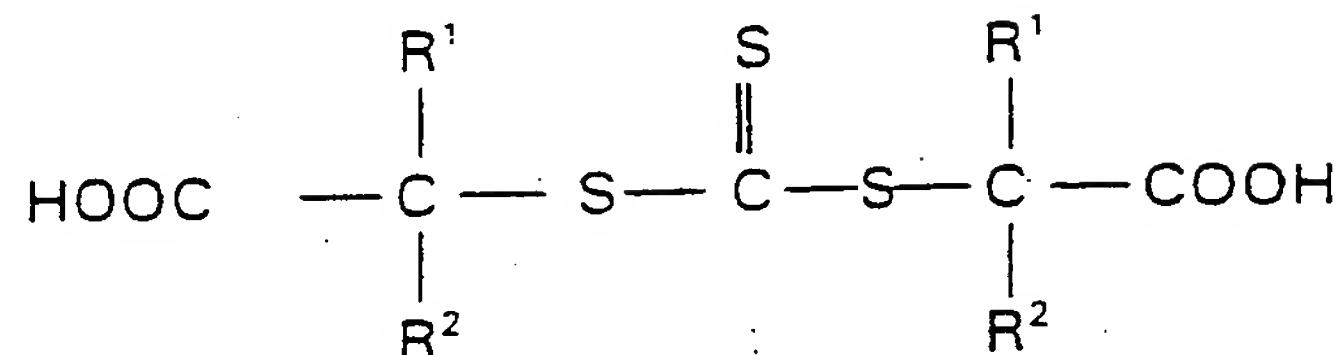
CLAIMS

What is claimed is:

5

1. A compound having the formula

10



15

wherein R¹ and R², independently, is an alkyl having from 1 to about 6 carbon atoms, or a substituted C₁ to about C₆ alkyl having one or more substituents, or one or more aryls, or a substituted aryl having from 1 to 6 substituents on the aryl ring; wherein said one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms, or an aryl, or a halogen which can be the same or different, or a cyano, or an ether having a total of from 2 to about 20 carbon atoms, or a nitro, or combinations thereof; or wherein R¹ and R² are part of a cyclic ring having from about 5 to about 12 total carbon atoms.

20

25

2. The compound of claim 1, wherein R¹ and R² are, independently, said alkyl, or said substituted alkyl having one or more substituents, or said one or more aryls, or said substituted aryl having one or more substituents, or combinations thereof.

30

3. The compound of claim 1, wherein R¹ and R² are, independently, methyl or phenyl.

45

4. A polymerization initiator, comprising:
the compound of claim 1.
5. A polymerization initiator, comprising:
the compound of claim 2.
6. A free radical polymerization initiator, comprising:
the compound of claim 3.
- 10 7. A polymerization chain transfer agent, comprising:
the compound of claim 1.
8. A polymerization chain transfer agent, comprising:
the compound of claim 2.
- 15 9. A free radical polymerization chain transfer agent, comprising:
the compound of claim 3.
10. A polymerization initiator, comprising:
20 the compound of claim 1.
11. A polymerization initiator, comprising:
the compound of claim 2.
- 25 12. A free radical polymerization initiator, comprising:
the compound of claim 3.
13. A polymerization chain terminator, comprising:
the compound of claim 1.

30

14. A method for forming an s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound, comprising the steps of: reacting carbon disulfide and a base to form an intermediate trithio structure;

5

reacting said trithio intermediate with a 1-disubstituted-2-dihaloepoxide, or with the reaction product of a haloform and a ketone in the presence of said base, to form a dicarboxylated salt, and

10

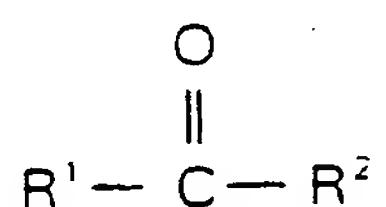
acidifying said dicarboxylated salt to form said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate.

15. A method according to claim 14, wherein said reaction temperature is from about minus 15°C to about 80°C.

15

16. A method according to claim 15, wherein said haloform is chloroform or bromoform or a blend thereof, and wherein said ketone has the formula:

20



25

wherein R' and R², independently, is an alkyl having from 1 to about 6 carbon atoms, or a substituted C, to about C₆ alkyl having one or more substituents, or one or more aryls, or a substituted aryl having from 1 to 6 substituents on the aryl ring; wherein said one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms, or an aryl, or a halogen which can be the same or different, or a cyano, or an ether having

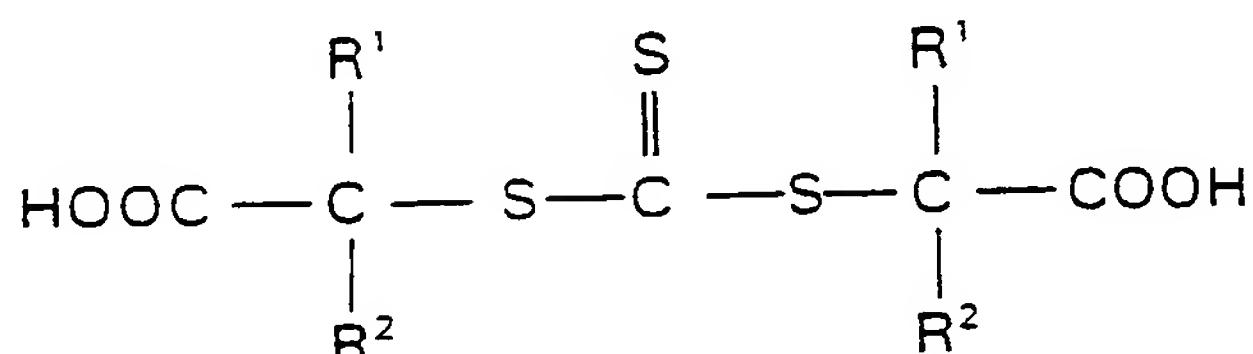
30

a total of from 2 to about 20 carbon atoms, or a nitro, or combinations thereof; or wherein R¹ and R² are part of a cyclic ring having from about 5 to about 12 total carbon atoms.

5 17. A method according to claim 16, including a catalyst.

18. A method according to claim 17, wherein said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate has the formula:

10



15

wherein R¹ and R², independently, is said R¹ and said R² of said ketone.

20 19. A method according to claim 18, wherein said catalyst is present in an amount of from about 0.1 to about 10 mole percent per mole of said carbon disulfide.

25 20. A method according to claim 19, wherein said haloform is present in an amount from about 110 mole percent to about 2,000 mole percent per mole molecule of said carbon disulfide, and wherein said ketone is present in an amount from about 110 mole percent to about 2,000 mole percent per mole of said carbon disulfide.

30 21. A method according to claim 20, wherein said R¹ and R², independently, are methyl or phenyl groups, and wherein said haloform is chloroform.

22. A method according to claim 21, wherein the amount of said base is from about 5 moles to about 15 moles per mole of said carbon disulfide.

5

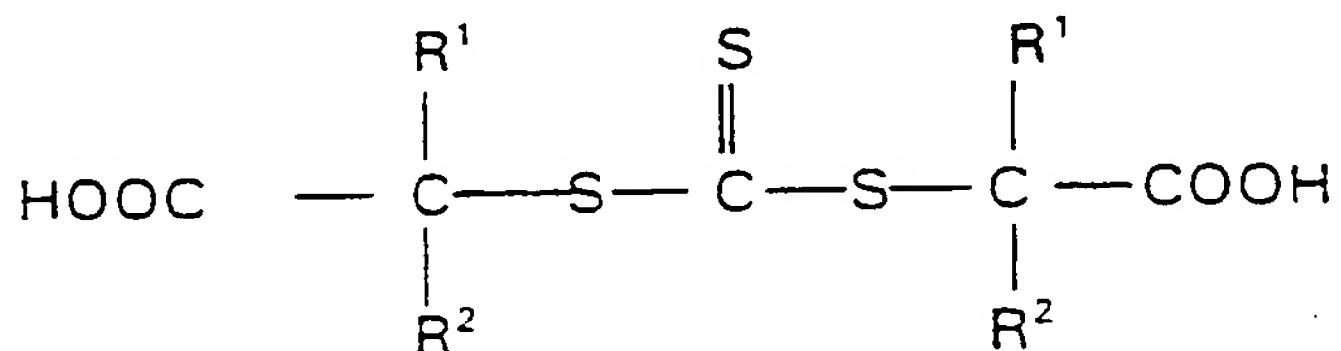
23. A method according to claim 22, wherein said catalyst is a polyether, or an onium salt, or combinations thereof.

10

24. A polymer, comprising:

repeat units derived from the free radical polymerization of at least one vinyl containing monomer, or at least one conjugated diene monomer, or combinations thereof, in the presence of a s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound having the formula:

15



20

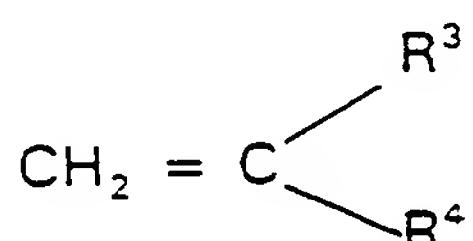
25

30

or a functional derivative of said end group thereof wherein R^1 and R^2 , independently, is an alkyl having from 1 to about 6 carbon atoms, or a substituted C, to about C_6 alkyl having one or more substituents, or one or more aryls, or a substituted aryl having from 1 to 6 substituents on the aryl ring; wherein said one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms, or an aryl, or a halogen which can be the same or different, or a cyano, or an ether having a total of from 2 to about 20 carbon atoms, or a nitro, or combinations thereof; or wherein R^1 and R^2 are part of a cyclic ring having from about 5 to about 12 total carbon atoms.

25. A polymer according to claim 24, wherein said conjugated diene monomer has from 4 to 12 carbon atoms, and wherein said vinyl containing monomer has the formula:

5



10 where R^3 comprises hydrogen, halogen, $\text{C}_1 - \text{C}_4$ alkyl, or substituted $\text{C}_1 - \text{C}_4$ alkyl wherein said substituents, independently, comprise one or more hydroxy, alkoxy, aryloxy(OR^5), carboxy, acyloxy, aroyloxy(O_2CR^5), alkoxy-carbonyl(CO_2R^5), or aryloxy-carbonyl;

15 wherein R^4 comprises hydrogen, R^5 , CO_2H , CO_2R^5 , COR^5 , CN , CONH_2 , CONHR^5 , O_2CR^5 , OR^5 or halogen; and

20 wherein R^5 comprises $\text{C}_1 - \text{C}_{18}$ alkyl, substituted $\text{C}_1 - \text{C}_{18}$ alkyl, $\text{C}_2 - \text{C}_{18}$ alkenyl, aryl, heterocyclyl, aralkyl, or alkaryl, and wherein said substituents, independently, comprise one or more epoxy, hydroxy, alkoxy, acyl, acyloxy, carboxy, (and salts), sulfonic acid (and salts), alkoxy- or aryloxy-carbonyl, sicyanato, cyano, silyl, halo or dialkylamino.

25 26. A polymer according to claim 25, wherein said one or more monomers is an acrylate having from 1 to 8 carbon atoms, a methacrylate having from 1 to 8 carbon atoms, styrene, butadiene, isoprene, acrylonitrile, or combinations thereof, and wherein R^1 and R^2 , independently, are methyl or phenyl.

27. A polymer according to claim 24, wherein said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate is an initiator, or a chain transfer agent, or both.
- 5 28. A polymer according to claim 25, wherein said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate is an initiator, a chain transfer agent, or both.
- 10 29. A polymer according to claim 26, wherein said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate is an initiator, a chain transfer agent, or both.
30. A polymer according to claim 27, including a free radical initiator.
- 15 31. A polymer according to claim 28, including a free radical initiator.
32. A polymer according to claim 29, including a free radical initiator.
- 20 33. A polymer according to claim 30, wherein said free radical initiator is 2,2'-azobis(isobutyronitrile)(AIBN); or 4,4'-azobis(4-cyanopentanoic acid); 2,2'-azobis(2-cyano-2-butane); or 1, 1'-azobis(cyclohexanecarbonitrile), or combinations thereof.
- 25 34. A polymer according to claim 31, wherein said free radical initiator is 2,2'-azobis(isobutyronitrile)(AIBN); or 4,4'-azobis(4-cyanopentanoic acid); 2,2'-azobis(2-cyano-2-butane); or 1, 1'-azobis(cyclohexanecarbonitrile); or combinations thereof, and wherein the amount of free radical initiator is from about 0.01 to about 25 mole percent based upon the total number of moles of

said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound.

35. A polymer according to claim 32, wherein said free radical initiator is 2,2'-azobis(isobutyronitrile)(AIBN); or 4,4'-azobis(4-cyanopentanoic acid); 2,2'-azobis(2-cyano-2-butane); or 1, 1'-azobis(cyclohexanecarbonitrile); or combinations thereof, and wherein the amount of free radical initiator is from about 0.1 to about 10 mole percent based upon the total number of moles of said s,s'-bis-(α , α' - disubstituted - α'' - acetic acid) - trithiocarbonate compound.

10

36. A polymer according to claim 27, wherein the polydispersity of said polymer is 1.75 or less.

15

37. A polymer according to claim 28, wherein the polydispersity of said polymer is 1.75 or less.

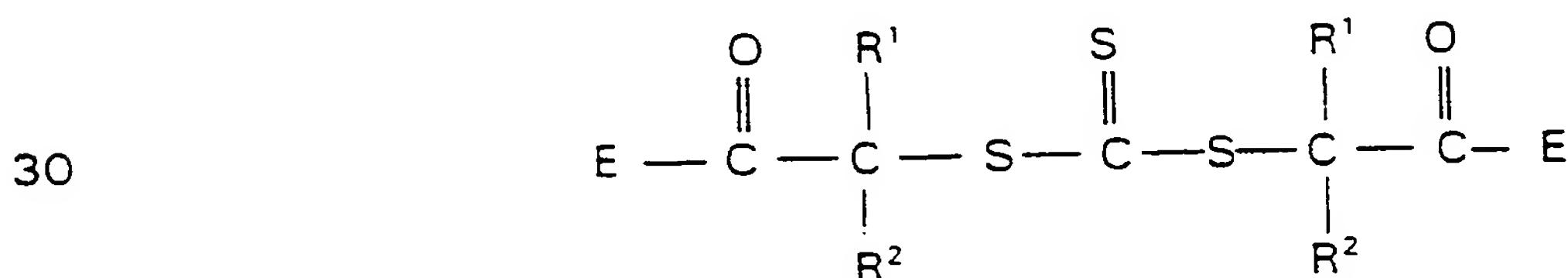
38. A polymer according to claim 29, wherein the polydispersity of said polymer is 1.50 or less.

20

39. A polymer according to claim 24, wherein the polydispersity of said polymer is 1.50 or less.

25

40. A compound having the formula:



5

wherein R¹ and R², independently, is an alkyl having from 1 to about 6 carbon atoms, or a substituted C₁ - C₆ alkyl having one or more substituents, or one or more aryls, or a substituted aryl having from 1 to 6 substituents on the aryl ring;

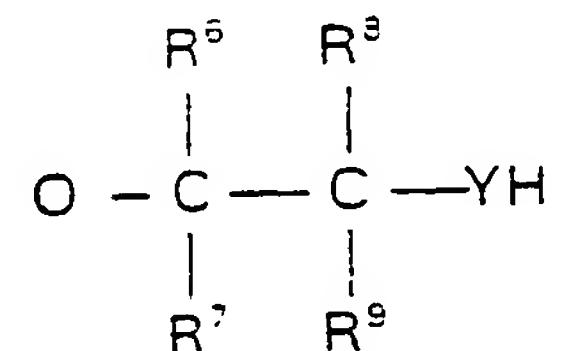
10

wherein said one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms, or an aryl, or a halogen which can be the same or different, or a cyano, or an ether having a total of from 2 to about 20 carbon atoms, or a nitro, or combinations thereof; or wherein R¹ and R² are part of a cyclic ring having from about 5 to about 12 total carbon atoms; and

15

wherein E is XR', where R', independently, comprises H, C₁ - C₁₈ alkyl, a substituted C₁ - C₁₈ alkyl wherein said substituent is halogen, hydroxyl, or alkoxy, a C₁ - C₁₈ hydroxyalkyl, or a C₁ - C₁₈ aminoalkyl, and X comprises oxygen, sulfur, NH, or NR; or

20



25

wherein R⁶ through R⁹, independently, comprise H, C₁ - C₁₈ alkyl, aryl, or a substituted aryl having from 1 to 6 substituents on the ring wherein said substituent is halogen, hydroxyl, or alkoxy, C₁ - C₁₈ hydroxy alkyl, C₁ - C₁₈ amino alkyl, C₁ - C₁₈ or mercapto alkyl, and wherein Y comprises oxygen, sulfur, NH, or NR⁶ to R⁹; or

wherein, E is OR¹⁰ where R¹⁰ comprises an alkyl containing from 1 to 18 carbon atoms, or a substituted alkyl containing from 1 to 18 carbon atoms wherein said substituent is halogen, hydroxyl, or alkoxy, or a hydroxy alkyl having from 1 to 18 carbon atoms, or an amino alkyl having from 1 to 18 carbon atoms, or combinations thereof;

5 or combinations thereof.

41. The compound of claim 40, wherein R¹ and R² are, independently, 10 said alkyl, or said substituted alkyl having one or more substituents, or said one or more aryls, or said substituted aryl having one or more substituents, or combinations thereof.

42. The compound of claim 41, wherein R¹ and R² are, independently, 15 methyl or phenyl.

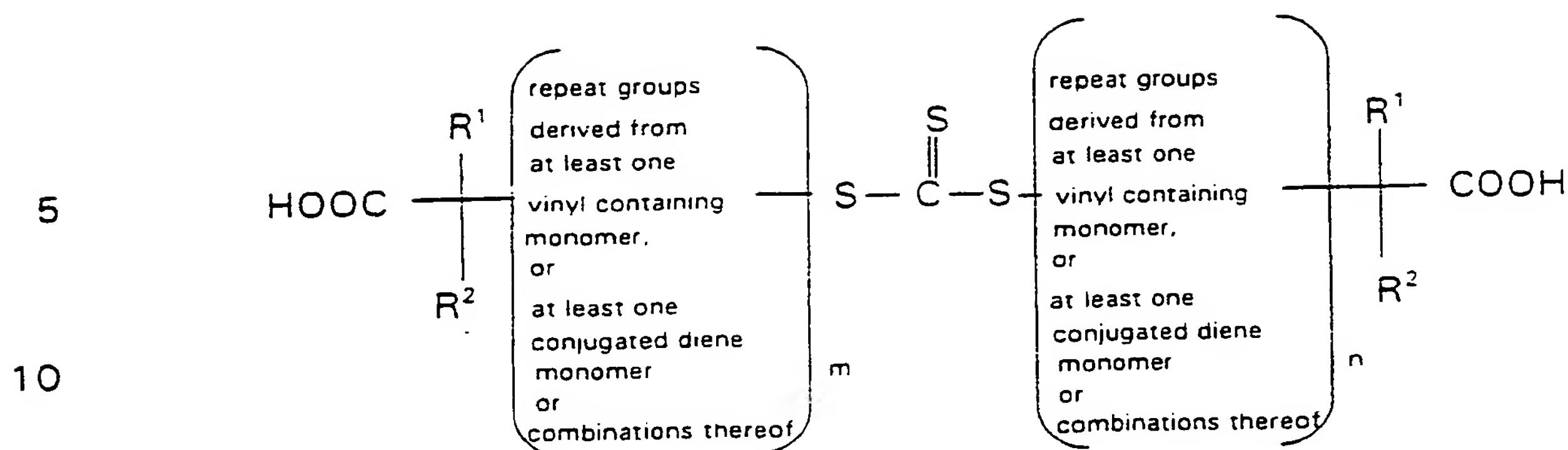
43. A polymerization initiator, comprising the compound of claim 40.

44. A polymerization initiator, comprising the compound of claim 42.

20 45. A free radical initiator, or a chain transfer agent, or both, comprising the compound of claim 40.

46. A free radical initiator, or a chain transfer agent, or both, comprising 25 the compound of claim 42.

47. A composition comprising:
a polymer having the formula

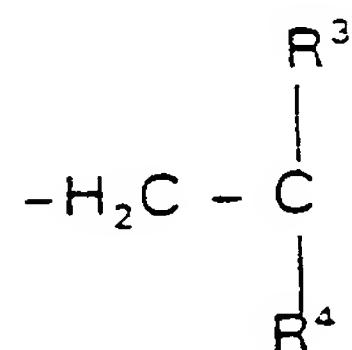


where R^1 and R^2 , independently, is an alkyl having from 1 to about 6 carbon atoms, or a substituted C₁ to about C₆ alkyl having one or more substituents, or one or more aryls, or a substituted aryl having from 1 to 6 substituents on the aryl ring; wherein said one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms, or an aryl, or a halogen which can be the same or different, or a cyano, or an ether having a total of from 2 to about 20 carbon atoms, or a nitro, or combinations thereof; or

wherein R^1 and R^2 are part of a cyclic ring having from about 5 to about 12 total carbon atoms; and

wherein said repeat group is derived from said at least one conjugated diene monomer has a total of from 4 to 12 carbon atoms, and wherein said at least one vinyl containing monomer has the repeat unit

30



35

wherein R³ comprises hydrogen, halogen, C₁ - C₄ alkyl, or substituted C₁ - C₄ alkyl wherein said substituents, independently, comprise one or more hydroxy, alkoxy, aryloxy(OR⁵), carboxy, acyloxy, aroyloxy(O₂CR⁵), alkoxy-carbonyl(CO₂R⁵), or aryloxy-carbonyl;

5

wherein R⁴ comprises hydrogen, R⁵, CO₂H, CO₂R⁵, COR⁵, CN, CONH₂, CONHR⁵, O₂CR⁵, OR⁵ or halogen; and

10

wherein, R⁵ comprises C₁ - C₁₈ alkyl, substituted C₁ - C₁₈ alkyl, C₂ - C₁₈ alkenyl, aryl, heterocyclyl, aralkyl, or alkaryl, and wherein said substituents, independently, comprise one or more epoxy, hydroxy, alkoxy, acyl, acyloxy, carboxy, (and salts), sulfonic acid (and salts), alkoxy- or aryloxy-carbonyl, sicyanato, cyano, silyl, halo or dialkylamino, and

15

wherein m and n, independently, is from about 1 to about 10,000.

20

48. A composition according to claim 47, wherein R¹ and R², independently, are said alkyl, or said substituted alkyl having one or more substituents, or said one or more aryls, or said substituted aryl having one or more substituents, or combinations thereof.

25

49. A composition according to claim 48, wherein R¹ and R², is independently, methyl or phenyl, and wherein m is from about 5 to about 500, and n is from about 5 to about 500.

30

50. A composition according to claim 49, wherein said m repeat group and said n repeat group is derived, independently, from said one or more monomers which is an acrylate having from 1 to 8 carbon

atoms, a methacrylate having from 1 to 8 carbon atoms, styrene, butadiene, isoprene, or acrylonitrile, or combinations thereof, and wherein m is from about 10 to about 200, and wherein n is from about 10 to about 200.

5

51. A composition according to claim 47, wherein the polydispersity of said polymer is 1.75 or less.

10 52. A composition according to claim 48, wherein the polydispersity of said polymer is 1.75 or less.

15 53. A composition according to claim 49, wherein the polydispersity of said polymer is 1.50 or less.

20 54. A composition according to claim 50, wherein the polydispersity of said polymer is 1.50 or less.

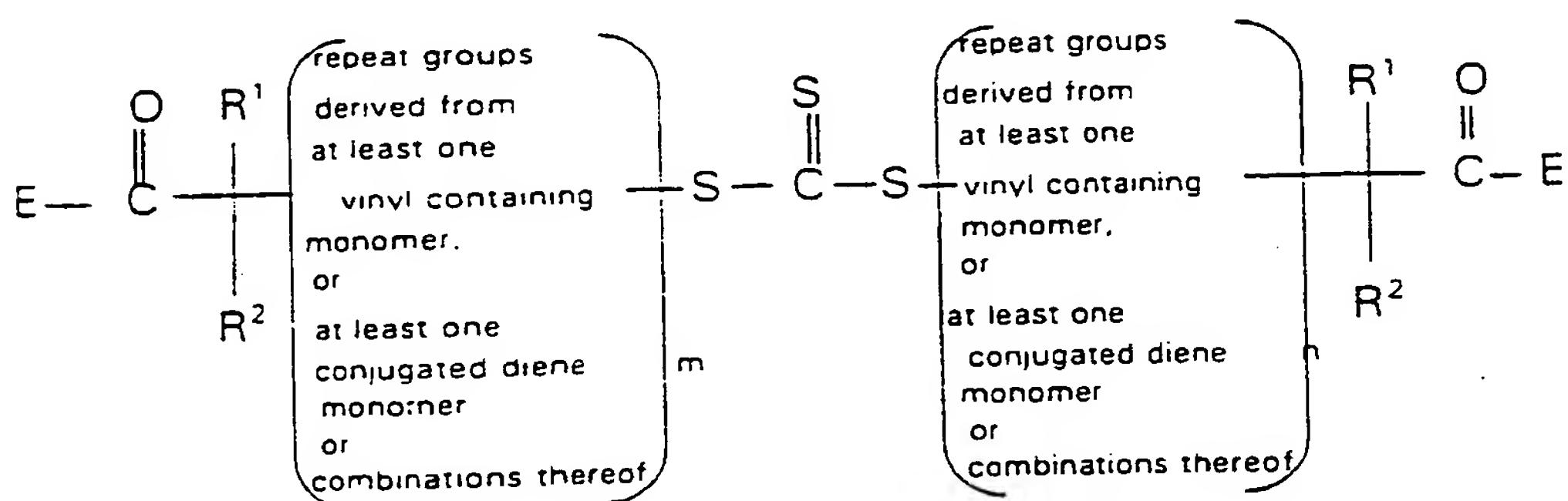
25 55. A composition comprising:
a polymer having the formula

20

25

30

35



5

where R¹ and R², independently, is an alkyl having from 1 to about 6 carbon atoms, or a substituted C₁ to about C₆ alkyl having one or more substituents, or one or more aryls, or a substituted aryl having from 1 to 6 substituents on the aryl ring; wherein said one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms, or an aryl, or a halogen which can be the same or different, or a cyano, or an ether having a total of from 2 to about 20 carbon atoms, or a nitro, or combinations thereof; or

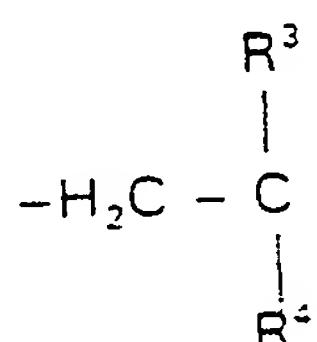
10

wherein R¹ and R² are part of a cyclic ring having from about 5 to about 12 total carbon atoms; and

15

wherein said repeat group is derived from said at least one conjugated diene monomer has a total of from 4 to 12 carbon atoms, and wherein said at least one vinyl containing monomer has the repeat unit

20



25

wherein R³ comprises hydrogen, halogen, C₁ - C₄ alkyl, or substituted C₁ - C₄ alkyl wherein said substituents, independently, comprise one or more hydroxy, alkoxy, aryloxy(OR⁵), carboxy, acyloxy, aroyloxy(O₂CR⁵), alkoxy-carbonyl(CO₂R⁵), or aryloxy-carbonyl;

30

wherein R⁴ comprises hydrogen, R⁵, CO₂H, CO₂R⁵, COR⁵, CN, CONH₂, CONHR⁵, O₂CR⁵, OR⁵ or halogen; and

wherein, R⁵ comprises C₁ - C₁₈ alkyl, substituted C₁ - C₁₈

alkyl, C₂ - C₁₈ alkenyl, aryl, heterocyclyl, aralkyl, or alkaryl, and wherein said substituents, independently, comprise one or more epoxy, hydroxy, alkoxy, acyl, acyloxy, carboxy, (and salts),

sulfonic acid (and salts), alkoxy- or aryloxy-carbonyl, sicyanato, cyano, silyl, halo or dialkylamino, and

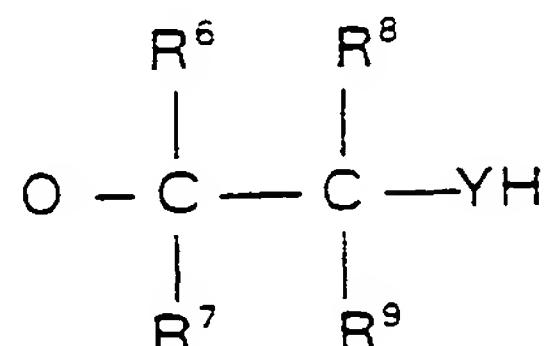
wherein m and n, independently, is from about 1 to about 10,000, and

5

wherein E is XR', where R', independently, comprises H, C, - C₁₈ alkyl, a substituted C₁ - C₁₈ alkyl wherein said substituent is halogen, hydroxyl, or alkoxy. C₁ - C₁₈ hydroxyalkyl, or a C₁ - C₁₈ aminoalkyl, and X comprises oxygen, sulfur, NH, or NR; or

wherein E is

10



15

wherein R⁶ through R⁹, independently, comprise H, C₁ - C₁₈ alkyl, aryl, or a substituted aryl having from 1 to 6 substituents on the ring wherein said substituent is halogen, hydroxyl, or alkoxy, C₁ - C₁₈ hydroxy alkyl, C₁ - C₁₈ amino alkyl, C₁ - C₁₈ or mercapto alkyl, and wherein Y comprises oxygen, sulfur, NH, or NR⁶ to R⁹; or

20

wherein, E is OR¹⁰ where R¹⁰ comprises an alkyl containing from 1 to 18 carbon atoms, or a substituted alkyl containing from 1 to 18 carbon atoms wherein said substituent is halogen, hydroxyl, or alkoxy, or a hydroxy alkyl having from 1 to 18 carbon atoms, or an amino alkyl having from 1 to 18 carbon atoms, or combinations thereof;

25

or combinations thereof.

30

56. A composition according to claim 55, wherein R¹ and R², independently, are said alkyl, or said substituted alkyl having one or more substituents, or said one or more aryls, or said substituted aryl having one or more substituents, or combinations thereof.

5

57. A composition according to claim 56, wherein R¹ and R², are independently, methyl or phenyl, and wherein m is from about 5 to about 500, and n is from about 5 to about 500.

10

58. A composition according to claim 56, wherein R³ said m repeat group and said n repeat group is derived, independently, from said one or more monomers which is an acrylate having from 1 to 8 carbon atoms, a methacrylate having from 1 to 8 carbon atoms, styrene, butadiene, isoprene, or acrylonitrile, or combinations thereof, and wherein m is from about 10 to about 200, and wherein n is from about 10 to about 200.

15

59. A composition according to claim 55, wherein the polydispersity of said polymer is 1.75 or less.

20

60. A composition according to claim 56, wherein the polydispersity of said polymer is 1.75 or less.

25

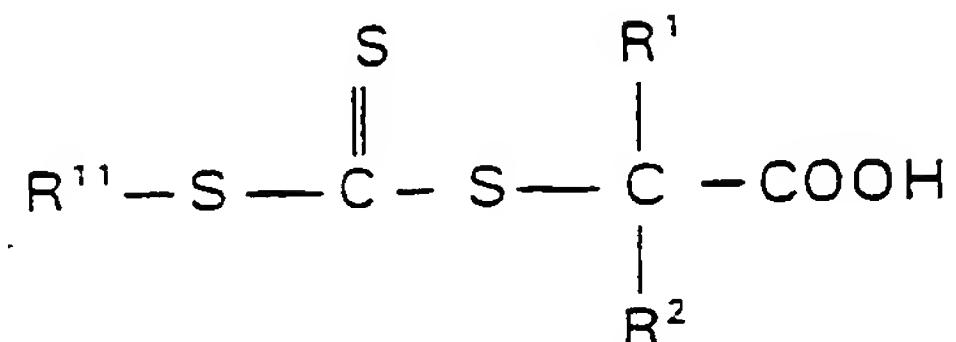
61. A composition according to claim 57, wherein the polydispersity of said polymer is 1.50 or less.

30

62. A composition according to claim 58, wherein the polydispersity of said polymer is 1.50 or less.

63. A composition comprising a polymer having the formula:

5



10

wherein R^{11} is benzyl, a C_1 through C_{18} alkyl, or a substituted C_1 to C_{18} alkyl wherein said substituted group is one or more halogen, hydroxyl, or alkoxy, or a C_1 to C_{18} hydroxyalkyl, or a C_1 to C_{18} alkyl carboxyl, or a C_1 to C_{18} alkylcarboalkoxy, and wherein R^1 and R^2 , independently, is an alkyl having from 1 to about 6 carbon atoms, or a substituted C_1 to about C_6 alkyl having one or more substituents, or one or more aryls, or a substituted aryl having from 1 to 6 substituents on the aryl ring; wherein said one or more substituents, independently, comprise an alkyl having from 1 to 6 carbon atoms, or an aryl, or a halogen which can be the same or different, or a cyano, or an ether having a total of from 2 to about 20 carbon atoms, or a nitro, or combinations thereof; or wherein R^1 and R^2 are part of a cyclic ring having from about 5 to about 12 total carbon atoms.

15

20

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US 01/00850

A. CLASSIFICATION OF SUBJECT MATTER
IPC 7 C07C329/00 C08F2/38

C08G75/28

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
IPC 7 C07C C08F C08G

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, CHEM ABS Data, BEILSTEIN Data

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 98 01478 A (LE TAM PHUONG ;MOAD GRAEME (AU); RIZZARDO EZIO (AU); THANG SAN HOA) 15 January 1998 (1998-01-15) cited in the application the whole document ---	1-63
A	EP 0 704 460 A (KURARAY CO) 3 April 1996 (1996-04-03) the whole document -----	1-63



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

* Special categories of cited documents:

- *'A' document defining the general state of the art which is not considered to be of particular relevance
- *'E' earlier document but published on or after the international filing date
- *'L' document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *'C' document referring to an oral disclosure, use, exhibition or other means
- *'P' document published prior to the international filing date but later than the priority date claimed

*'T' later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

*'X' document of particular relevance: the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

*'Y' document of particular relevance: the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

*'&' document member of the same patent family

Date of the actual completion of the international search

Date of mailing of the international search report

23 April 2001

02/05/2001

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl.
Fax: (+31-70) 340-3016

Authorized officer

Goetz, G

INTERNATIONAL SEARCH REPORT

Information on patent family members

Internatio	Application No
PCT/US 01/00850	

Patent document cited in search report	Publication date	Patent family member(s)			Publication date
WO 9801478	A 15-01-1998	AU 728717 B			18-01-2001
		AU 3603397 A			02-02-1998
		BR 9710219 A			10-08-1999
		CA 2259559 A			15-01-1998
		CN 1228787 A			15-09-1999
		EP 0910587 A			28-04-1999
		JP 2000515181 T			14-11-2000
		TW 384292 B			11-03-2000
<hr style="border-top: 1px dashed black;"/>					
EP 0704460	A 03-04-1996	DE 69505768 D			10-12-1998
		DE 69505768 T			06-05-1999
		KR 169009 B			20-03-1999
		US 5847061 A			08-12-1998
		WO 9525753 A			28-09-1995

THIS PAGE BLANK (USPTO)